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ABSTRACT

A teacher training packet (teacher's edition) on assessment of students in bilingual programs, is directed to undergraduate and graduate students and inservice participants. In addition to state-of-the-art reviews, the packet contains: a course syllabus, a pretest and answer key, a glossary, learning objectives, a list of recommended readings, learning activities, guidelines for discussion questions, and a posttest and answer key. Narrative sections are presented on the following topics: (1) linguistic trends since the 1950's; (2) limitations of testing instruments, (3) form versus function issues, (4) language proficiency to academic achievement, (5) a theoretical framework relating language proficiency to academic achievement, (6) language proficiency assessment in bilingual programs, (7) English proficiency and exit criteria, (8) assessment of entry and exit criteria, and (9) processes for reclassifying students. A chapter by Jim Cummins is included entitled, "Wanted: A Theoretical Framework for Relating Language Proficiency to Academic Achievement among Bilingual Students." This chapter considers the importance of the concept of language proficiency to many issues involved in educating both language minority and majority students. (SW)

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## Series B: Language Proficiency Acquisition, Assessment, and Communicative Behavior

# Packet III: Assessing Communicative Competence

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## BILINGUAL EDUCATION

## TEACHER TRAINING MATERIALS

The bilingual education teacher training materials developed by the Center for the Development of Bilingual Curriculum - Dallas address five broad areas of need in the field of bilingual education:

| | |
|---|---|
| Series A: | Bilingual Program Planning, Implementation, and Evaluation |
| Series B: | Language Proficiency Acquisition, Assessment, and Communicative Behavior |
| Series C: | Teaching Mathematics, Science, and Social Studies |
| Series D: | Teaching Listening, Speaking, Reading, and Writing |
| Series E: | Actualizing Parental Involvement |

These materials are intended for use in institutions of higher education, education service centers, and local school district in-service programs. They were developed by experts in the appropriate fields of bilingual education and teacher training.

Series A addresses the critical issue of the effective planning and implementation of programs of bilingual education as well as efficient program evaluation. Sample evaluation instruments and indications for their use are included. Series B contains state-of-the-art information on theories and research concerning bilingual education, second language acquisition, and communicative competence as well as teaching models and assessment techniques reflecting these theories and research. In Series C, the content, methods, and materials for teaching effectively in the subject matter areas of mathematics, science, and social studies are presented. Technical vocabulary is included as well as information on those

aspects rarely dealt with in the monolingual content area course. Series D presents the content area of language arts, specifically the vital knowledge and skills for teaching listening, speaking, reading, and writing in the bilingual classroom. The content of Series E, Actualizing Parental Involvement, is directed toward involving parents with the school system and developing essential skills and knowledge for the decision-making process.

Each packet of the series contains a Teacher Edition and a Student Edition. In general, the Teacher Edition includes objectives for the learning activity, prerequisites, suggested procedures, vocabulary or a glossary of bilingual terminology, a bibliography, and assessment instruments as well as all of the materials in the Student Edition. The materials for the student may be composed of assignments of readings, case studies, written reports, field work, or other pertinent content. Teaching strategies may include classroom observation, peer teaching, seminars, conferences, or micro-teaching sessions.

The language used in each of the series is closely synchronized with specific objectives and client populations. The following chart illustrates the areas of competencies, languages, and intended clientele.

COMPETENCIES, LANGUAGE OF INSTRUCTION AND INTENDED CLIENTELE

| AREAS OF COMPETENCIES | LANGUAGE | CLIENTELE |
|---|---|---|
| SERIES A. Bilingual Program Planning, Implementation, and Evaluation | English | Primarily supervisors |
| SERIES B. Language Proficiency Acquistion, Assessment, and Communicative Behavior | Spanish/ English | Primarily teachers and supervisors |
| SERIES C. Teaching Mathematics, Science, and Social Studies | Spanish/ English | Primarily teachers and paraprofessionals |
| SERIES D. Teaching Listening, Speaking, Reading, and Writing | Spanish/ English | Primarily teachers and Paraprofessionals |
| SERIES E. Actualizing Parental Involvement | Spanish | Primarily teachers, parents, and community liaisons |

In addition to the materials described, the Center has developed a Management System to be used in conjunction with the packets in the Series. Also available are four Practicums which include a take-home packet for the teacher trainee.

The design of the materials provides for differing levels of linguistic proficiency in Spanish and for diversified levels of knowledge and academic preparation through the selection of assignments and strategies. A variety of methods of testing the information and skills taught in real or simulated situations is provided along with strategies that will allow the instructor to meet individual needs and learning styles. In general, the materials are adaptable as source materials for a topic or as supplements to other materials, texts, or syllabi. They provide a model that learners can emulate in their own classroom. It is hoped that teacher trainers will find the materials motivational and helpful in preparing better teachers for the bilingual classroom.

# Introduction

In the past, most teacher training programs and materials have been based entirely on "expert's" knowledge, personal experiences of educators, and the inductive and deductive reasoning of program designers and planners (California State Department of Education). Such information is important but not sufficient enough to risk making important educational decisions. Therefore, these teacher training packets have been developed to bolster the validity of knowledge about bilingual education. Empirical knowledge is certain to improve the ability of educators to predict student outcomes of different types of students, given different types of treatments under different types of conditions.

The principles and application of the theories and research on communicative competence (Hymes, Canale, Swain, Cummins, Krashen, DiPietro) in Packet I are synthesized and empirically and experientially operationalized through the teaching models (DiPietro, Pusey, Calderón, Rubio) in Packet II. Packet III integrates theory and application through discussion of assessment procedures and problems in terms of language proficiency and academic achievement. The authors--Cummins, Calderón, DiPietro, Pusey, and Rubio--have been working collaboratively in search of a research-based theoretical framework for bilingual education. These packets represent a collection of some of the most current information on first and second language acquisition. The authors hope that these efforts will trigger application and improvement of these works for further refinement of bilingual programs.

# Topical Outline

- Linguistic Trends: 50s, 60s, 70s, 80s
- Limitations of Testing Instruments
- Form vs. Function Issues
- Language Proficiency Assessment
- A Theoretical Framework
- Assessment of Entry and Exit Criteria
- Reclassification Process and Issues

# Rationale

One of the major reasons for the confused state of the art of language proficiency assessment in bilingual programs stems from the failure to develop an adequate theoretical framework for relating language proficiency to academic achievement. Without such a framework it is impossible either to develop rational entry and exit criteria for bilingual programs or to design testing procedures to assess these criteria. This packet gives background information for the development of a theoretical framework and also tries to illustrate how the construct of "language proficiency" is central to a variety of seemingly independent issues in the education of language minority students.

# Design for Packet III

PACKET III AND ADDITIONAL READINGS

This packet contains state-of-the-art information on assessing students in bilingual programs. Its target audience is the undergraduate, the grad-

uate, and the participants of in-service programs. The packet is designed to stand on its own, without having to resort to outside readings for presentation, discussion, and work on Activities I-VII. For graduate students and in-service training programs, the authors also recommend referral to utilization of the recommended readings, particularly the text by Oller. For those interested in research, resources are also included for indepth probing.

## LEVELS OF DIFFICULTY

Parts 1, 2, 3 of Packet III are general knowledge and mostly applicable to undergraduate courses. Part 4, written specifically for this Series by Dr. Jim Cummins, is recommended for graduate level or for the advanced eager student/professional who wants an indepth analysis of the controversial issues impinging upon the assessment and reclassification of bilingual students.

## RELATIONSHIP TO PACKETS I AND II

Packets I, II, and III are cyclical in nature and reinforce and add to each other. For example, Packet III mentions "discourse" but does not elaborate upon it as I and II do. Other theoretical concepts are also expanded upon through the other units.

## A NOTE ON THE RECLASSIFICATION MODEL (PART 3)

The California State Department Model for Reclassification is used here because (1) it is comprehensive in detail and explicitly uses multi-criteria. This model is still pending legislative adoption at this writing, but training on this process has already occurred throughout the state and has been positively received for the most part; and (2) Texas and other

states are in the process of writing their reclassification criteria based on the California model.

A NOTE ON JIM CUMMINS' PAPER (PART 4)

A definite highlight of Series B--Language Proficiency Acquisition, Assessment, and Communicative Behavior--is that specific writing contributions were made by the renowned sociolinguists Jim Cummins and Robert J. DiPietro. Packet III--Assessing Communicative Competence--contains in Part 4 an article by Jim Cummins: "Wanted: A Theoretical Framework for Relating Language Proficiency to Academic Achievement Among Bilingual Students." This article is an elaboration of a paper that was presented at the Inter-America Symposium on Language Proficiency Assessment in Airlie, Virginia, in March, 1981.

This paper further elaborates on the BICS and CALP explanations in Part 3. It is also a condensed version of his paper written for the California State Department Framework for Bilingual Education which will be published later this year. As the California publication implies, Jim Cummins' theoretical framework will become the framework for bilingual programs in California.

## Prerequisites

There are no prerequisites for this packet. The authors recommend, however, that it be used as part three of the total series on communicative competence. By beginning with Packet I, Theory and Research, and continuing with Packet II, Methods and Techniques, the trainee will have a better basis for discussion and application of assessment techniques and their rationale.

# Methodological Procedures

At the undergraduate level, some of the activities can be used as practicums as well as in seminar sessions. At the graduate or in-service level, they can be used as practicums, and the Key Points at the end of the chapters in Oller's book can be used in the seminar sessions. The activities which lend themselves to practicums are I, III, V, and VII.

The activities include experiences with both pragmatic and discrete item tests. Students should be aware of how either kind of test could be used for assessing the target skill. The authors do not wish to recommend either type of test to the exclusion of the other until further empirical evidence is available. In assessing oral, reading, or writing skills, one must take into consideration certain factors such as age and language skills. These will determine both the choice of a pragmatic or discrete item test and the specific kind of task in the test.

The activities to be carried out are mostly to help understand the process involved in assessing language proficiency. It is suggested that at the end of each activity each participant administer the test to two or three students. Follow-up discussion would be beneficial.

Depending on the level of the trainees, the professor/trainer has the flexibility to expand to the degree necessary on each of the recommended topics to be covered in each session. The number of sessions or presentations needs to be determined by (1) level, (2) interest, (3) format, (i.e., course or workshop), and (4) background of trainees. For an undergraduate and graduate course the material could be covered in a minimum of 15 hours. Workshops can be divided into topics based on the objectives. It would depend on the presentors as to the order and number of objectives that

could be covered in the allotted time. (See Management System manual for Workshop Delivery System).

Included in the packet is a pre/posttest that can be used as a needs assessment instrument, an evaluation instrument, or as discussion questions--warm-up exercise. Absolute answers are given neither for the pre/posttest nor for the activities, since the responses are contingent on the content that was covered. However, guidelines are given, as well as specific pages, paragraphs, or articles where they can be found. The short answers provided for discussion questions in the activities encourage elaboration by the student. It is hoped that the content will be tailored to meet the audience need and that the trainer/professor add to and complement this packet as needed.

In addition to the general pre/posttest for the packet, Part 4 (Jim Cummins' paper) includes its own pre/posttest. There are several alternative uses of this test. First, the true-false questionnaire can be used as a pre/post measure to generate discussion. Second, it can be broken up into several parts if the Cummins paper is to be analyzed in more than one session. Third, sections of the pre/posttest can be given to three or four groups during workshop or seminar sessions; that is, after each group has answered its questions collectively, a recorder/reporter can share and discuss its findings with the total group.

The page numbers where the answers can be found are included after each question to facilitate the group process sessions. An answer key is also included in the instructor's manual for immediate participant feedback.

Please note that questions 27 and 28 "false" in terms of Cummins' framework which emphasizes that language proficiency develops along different dimensions and is neither totally independent nor indistinguishable from cognitive and academic skills. These last two questions

are key in generating discussion on these crucial issues (See Activity VIII for this process).

## Materials, Equipment, Setting

Besides Packet III, extra readings are highly recommended and should be secured at the beginning of the semester/workshop planning period. The extra readings are chapters from Oller's book and small articles that are easily accessible.

Charts and figures included in this packet can be made into overhead transparencies for variety of presentation. The reclassification exercise should be discussed by using overheads of all the forms included. The Cummins theoretical rationale will also necessitate overheads for the discussion activities. These transparencies will also be useful at staff development or management information meetings.

Setting should be informal, lending itself to large and small group activities. Many field experiences are recommended. Consequently, follow-up procedures can be turned into mini presentations.

# Syllabus

| SESSION | LEVEL | ACTIVITY |
|---|---|---|
| 1 | All | Pretest and/or review of objectives<br><br>(Also, pretest can be used for discussion questions.)<br><br>Presentation of linguistic and bilingual education trends of the 50s, 60s, 70s<br><br>(pp. 21-24 and 45-47 Teacher Edition)<br>(pp. 15-18 and 39-41 Student Edition) |
| | All<br>Undergraduates<br>Graduates/Professionals | ASSIGNMENT:<br><br>Reread pp. 21-24 and 45-47 Teacher Edition.<br>15-18 and 39-41 Student Edition.<br>Read pp. 48-53 Teacher Edition.<br>42-47 Student Edition.<br>Read Part 4 by Cummins. |
| 2 | All | Discuss communicative competence: definition and implications for bilingual education. |
| | All<br>Graduates/Professionals | ASSIGNMENT:<br><br>Read Part 2.<br>Read Oller, Chaps. 3 and 11.<br><br>Optional readings: Carrol (1972) and Chronback, Chap. V (1970) |

# Syllabus

| SESSION | LEVEL | ACTIVITY |
|---|---|---|
| 3 | All (Undergraduates Sessions #3 and #4) | Oral language assessment<br><br>Do Activities I and II.<br>(Grads/Pros do No. I as a practicum.)<br><br>Discuss relationship of oral language skills and assessment to BICS.<br><br>ASSIGNMENT: |
| | All Graduates/Professionals | Read pp. 25-29 Teacher Edition.<br>19-23 Student Edition.<br>Read Dieterich et al. article; Carroll (1968); Oller, Chaps. VIII and IX.<br><br>Optional readings: Lado (1961) |
| 4 | Undergraduates | Do Activities III and IV.<br><br>Discuss assessment of reading skills in L1 and L2. |
| 4 | Graduates/Professionals ONLY | Discuss problems of reliability and validity of different types of tests and of specific instruments.<br><br>Do Activity III (Practicum).<br><br>ASSIGNMENT:<br><br>Read Oller, Chap. VII. |

# Syllabus

| SESSION | LEVEL | ACTIVITY |
|---|---|---|
| 5<br>6 | Undergraduates<br>Graduates/Professionals | Discuss and follow procedure for student reclassification. |
| | Graduates/Professionals | ASSIGNMENT:<br>Read Oller, Chaps. VI and XIII.<br>Do Activities V and VI (Practicum).<br>Read Part 4. |
| 7 | Graduates/Professionals | Discuss how the results of assessing writing relates to CALP and ties into the reclassification decision. |
| 8 | Graduates/Professionals | ASSIGNMENT:<br>Do Activity VII (Seminar or Workshop).<br>Read Parts 3 and 4. |

# Pretest

1. What is Communicative Competence?

2. How have linguistic trends influenced the focus of instruction and assessment?

3. What constitutes the major problem(s) of assessing communicative competence?

4. Discuss the difference(s) between discrete item tests and pragmatic and/or integrative tests.

5. What is the difference between Basic Interpersonal Communicative Skills (BICS) and Cognitive/Academic Language Proficiency (CALP)?

6. How is L2 interdependent of L1?

7. Which student is apt to achieve better in English by grade 6, the one who receives more English in grades K-5 or the one who receives more Spanish? Explain.

8. What should be used to exit a student out of a bilingual program?

# Answer Key to Pretest

1. See p. 23 paragraph 1, pp. 49, 50, 51, and Part 4.
2. See pp. 21, 22, 45, 46, and Part 4.
3. See pp. 23, 24, 25, 49, 50, 51, 52, and Part 4.
4. See pp. 26, 27, and 28.
5. See pp. 46, 47, 48, 49, and Part 4.
6. See pp. 48, 49, and Part 4.
7. See pp. 49, 50, 51, and Part 4.
8. See p. 52.

# Glossary

BINL: Basic Inventory of Natural Language Test (CHECpoint Systems, San Bernardino, CA 92404).

BSM: Bilingual Syntax Measure Test (Harcourt, Brace, Jovanovitch, New York).

CAL: Oral Proficiency Test (Center for Applied Linguistics. Arlington VA 22209).

Criterion-Referenced Test: A test used to evaluate the attainment of particular instructional objectives. The criterion is the standard of behavior on which a judgment may be based.

CTBS: comprehension Tests of Basic Skills (McGraw-Hill, Del Monte Research Park, Monterey, CA 93940).

Discrete item test: A test of separate skills making up one's total language competence, for example, elements of syntax or vocabulary, based on the idea that these skills can be identified as unique skills apart from each other (Lado).

Exit: When a student is removed from the bilingual/bicultural program and is placed in an English only classroom. Exiting is one of several alternatives following reclassification.

Expectancy Band: A range of scores on a test of achievement considered to be "average" for a given age and grade. For the purpose of these guidelines, the recommended band is defined as the range formed by scores above and below the average (mean) score, within which the scores of approximately one-third of all nonminority students taking the test are found. An alternate way of viewing this recommended expectancy band is that approximately two-thirds of all nonminority students taking a test will have scores at or above the lowest score of the band.

Fluent English Speaking (FES): Those non-English language background students who do have the clearly developed English language skills of comprehension, speaking, reading, and writing necessary to receive instruction only in English at a level substantially equivalent to that of pupils whose primary language is English.

Formal assessment: Measurement of skills and knowledge according to an established set of criteria.

Ilyin: Ilyin Oral Interview Test (Newbury House Publishers, Rowley, MA).

Informal assessment: Measurement of skills and knowledge by other than a formal test.

Integrative test: A test wherein several language skills are combined in carrying out a language-oriented task, based on the idea that language production or comprehension is not a matter of isolated skills but on the combined use of the acquired skills (Oller; Carroll).

LAS: Language Assessment Scales Test (Linguametrics Group, Inc., Corte Madera, CA).

Limited English Speaking (LES): Those students "Who do not have the clearly developed English language skills of comprehension, speaking, reading, writing necessary to receive instruction only in English at a level substantially equivalent to pupils whose primary language is English." EC 52163

MAT - Oral Proficiency Test (Center for Applied Linguistics, Arlington, VA 22209).

Non-English Language Background (NELB): Students who have primary language other than English. They may be NES, LES, or FES.

Non-English Speaking (NES): Students who have virtually no English skills.

Nonminority Students: Anglo students who have English as their primary language.

Norm-Referenced Test: A test which compares a student's achievement with a population of similar students.

Pragmatic test: A test wherein the evaluee's energies are directed toward carrying out some other task which is not languge centered, but in which language must be used such as following directions or explaining how to do something, based on the idea that language is not to be analyzed by the testee, but used for natural or academic communication (Krashen; Swain & Canale).

Reclassification: When a student can be considered fluent English speaking (FES). Reclassification is distinguished from exit. Reclassification does not prescribe that a student be removed from a bilingual/bicultural program.

Reclassification Process: Procedures and criteria used to determine when a limited English speaking (LES or NES) student has learned enough English to be considered fluent English speaking (FES).

Reliability: The extent to which measurement error is slight and the extent to which the measurement is repeatable. For example, if a test is given and an alternative form is given shortly thereafter, the scores should be the same for the same person; or if two people score the same test, the scores should be the same.

SEA: Oral Proficiency Test (Center for Applied Linguistics, Arlington, VA 22209).

Standardized Test: A test that is composed of empirically selected materials; has definite directions for administration, scoring, and use; has data on reliability and validity; and has adequately determined norms. Both norm-referenced and criterion-referenced tests can be standardized.

Validity: The extent to which an instrument measures what it is said to measure and not some other thing.

# Objectives

Upon the completion of this packet, the student will be able to:

1. Define communicative competence in terms of L1 and L2 by citing the Canale & Swain components of communicative competence.
2. Differentiate between past misinterpretations of competence and competence as it is defined today by citing legislative terms used in the past and the Canale, Swain, and Cummins interpretations of today.
3. Differentiate linguistic trends of the 50s, 60s, and 70s, including the implications of Chomsky's contribution by identifying the focus of linguistic analysis of each period and discussing Chomsky's "performance vs. competence."
4. Distinguish between "form" and "function" by elaborating on the aspects of language that refer to form and on those for function.
5. Discuss "BICS" and "CALP" and their implications for teacher training and curriculum development by identifying the elements of BICS and CALP and how teachers must apply these to the classroom situation.
6. Explain the "Interdependence Hypothesis" by explaining the "Dual-Iceberg" representation of bilingual proficiency.
7. Explain the "Threshold Hypothesis" by explaining the Skutnabb-Kangas threshold illustration.
8. Distinguish between the different types of assessment instruments by recognizing an example of each.
9. Be aware of the fallacy of current testing procedures for exiting students out of a program by citing limitations of (1) current instruments and (2) judgments by untrained observers.

10. Use a multicriteria process for reclassification by citing the California model as an example.
11. Provide a rationale for using multicriteria for reclassification by synthesizing dual-language acquisition theory, limitations of instruments, training, etc.

# Part 1--Current Theory and Research

Communicative Competence as a term was first used by Dell Hymes (1968) to differentiate it from linguistic competence as defined by Chomsky (1965). In order to define Communicative Competence, we must discuss some of the theories of modern linguistics both in terms of psycholinguistics (how language is acquired) and sociolinguistics (how language is used).

Up through the 1960s linguists were concerned with the structure of the language and with describing it in terms of its phonology (sound system), morphology (grammatical inflectional system) and finally its syntax (sentence structure). Throughout the 40s and 50s the major emphasis seemed to be on the spoken language and the sound system. Any effects the work of the linguists had were more on foreign language instruction than on native language instruction.

Still concerned with the structure of the language, but in terms of syntax rather than phonology, Noam Chomsky shook the linguistic world with his theory of generative, transformational grammar laid out in his book Syntactic Structures (1957). He discussed deep structure (the underlying meaning) as different from surface structure (the sentences one speaks). To arrive at the surface structure, a speaker "transforms" the deep structure in one or more ways. Underlying his theory of syntactic structures was his rejection of the premise that language was a behavioral response to a stimulus (a theory which has heavily influenced applied linguistics). Chomsky stated:

1. Language is innate (a product of a thinking brain and not habit formation).
2. Language is rule-governed behavior.

3. "Correctness" is determined by the users of the language and is based on understanding (i.e., meaning cannot be separated from language).

4. All languages have "universals" or similarities (i.e., processes or elements in their basic systems).

5. Surface grammar (what we see, say, and hear) is only a manifestation of deep grammar (the meaning, rules, and processes which we use to produce language).

6. Our language competence (our ability to use language) is not always accurately reflected in our performance (how we use the language). (Haskell, TESOL Newsletter, April, 1978).

Chomsky's theory had resounding effects on the fields of linguistics and foreign language teaching as well as on the teaching of grammar and reading in elementary and secondary schools. A new interest in linguistic research came about. If linguistic ability is innate, then something could be learned about Chomsky's syntactic theories by observing how small children acquire language. Research by Lenneberg, Brown, and others quickly followed. As a result of this research, Chomsky's original theories about syntax have been refined and modified. He himself revised the theory in another book, Aspects of the Theory of Syntax, in 1965.

Chomsky used two terms in his writings which have considerable bearing on this discussion: "competence" and "performance." He defined competence as what one innately knows about the grammaticality of his language and performance as the speaker's ability to use this knowledge in concrete situations. Competence is complete, accurate, and ideal; performance is partial, flawed, and imperfect.

Linguistic research created interest in two related fields--psychology and sociology. The psychologists researched language acquisition and created a new field of study--psycholinguistics. The sociologists were interested in how language was used in social settings and developed another new field of study--sociolinguistics. According to the sociolinguist, language is used

for communication. In 1970, in a paper entitled "On Communicative Competence," D. Hymes built on Chomsky's theory of linguistic competence. Just as a native speaker can judge whether a sentence is grammatical or ungrammatical, Hymes contended, he can also judge whether a sentence is appropriate or not when communicating with another native speaker. Thus, we must define communicative competence as the ability to judge whether the language one uses is possible grammatically, feasible semantically, and appropriate socially.

The question then is: How can a person's communicative competence be assessed or determined? In answering this question, one must look at the current status of assessing language proficiency and the two approaches to testing it (discrete point and pragmatic) and finally decide how to determine the best way of assessing communicative competence in L1 and L2 for diagnostic and prescriptive purposes. There is a dearth of instruments for measuring L1 proficiency in a language other than English. A few are available for Spanish but are lacking for other languages.

The National Institute of Education in its 1978 publication, Assessment Instruments for Limited English Speaking Students, reviews and analyses instruments for Chinese, French, Italian, Navaho, Portuguese, Spanish, and Tagalog. Rating criteria is included as well as crucial assessment needs and limitations. After perusing their chart analysis, it is quite evident that these instruments need revision and technical upgrading and are too limited in scope. Dieterich et al. (1979) elaborate more thoroughly on the limitations of the tests. For an indepth discussion of these limitations please see Dieterich's "A Linguistic Analysis of Some English Proficiency Tests."

At the present time determining a student's communicative competence is at best fragmented and incomplete. This is due in part to a limitation

of instrumentation and in large measure to a faulty purpose for carrying out the assessment. Instruments are currently on the market and others are being developed to measure the student's linguistic proficiency in English and/or the native language. (These are discussed more at length in recommended readings.) However, the reason for determining the student's communicative competence, at least on the part of school administrators, is often due to legal or bureaucratic pressure from agencies such as the Office of Civil Rights (OCR) or to the state laws that require a minimal proficiency level for graduation, rather than to diagnostic and prescriptive use by the teacher and the school. Some teachers are aware of the need and are concerned about determining the student's needs, but others are not. Due to limited instruments, even the concerned teacher is many times not fully equipped to determine completely the communicative proficiency of the students.

# Part 2-- Entry: Diagnosis and Prescription

Perhaps one of the greatest misjustices bilingual educators have done to their students is to identify them incorrectly and place them in programs not adequate to their needs. An appropriate "entry" process has not been empirically tested, and state legislators are still emphasizing diagnosis but not prescription. Individual school districts or teachers still have to re-diagnose and prescribe or re-prescribe once the state-mandated testing has been completed. A recent review by the California Joint Legislative Audit Committee (1980) found that due to the limitations in the mandated language assessment instruments, schools were not using consistent procedures for assessing pupils' English language proficiency. Consequently, pupil identification and classification varied considerably among districts and schools in California (Office of the Auditor General, 1980).

Some current language assessment instruments attempt to assess oral language (LAS, BINL, BSM) while others assess other aspects of language proficiency such as grammatical competence (Ilyin) or knowledge of vocabulary. Validity (measuring what it says it measures) is an important trait of any test. Content validity is difficult to achieve since the components making up communicative competence are broad and not necessarily adequately described. Thus, choosing a representative sample of the language components is difficult. According to the California Department of Education, these instruments lack construct validity (CA State Dept. of Ed., 1980). Construct validity refers to how well a test measures a theoretical concept on which the test is based. Another trait to be considered in selecting or designing a testing instrument is reliability. Would two people of equal competence score the same on

the test? If the person took the test now and again within a short period of time, would the score be about the same? It is probably fair at this point to say there is no one valid and reliable instrument to determine the true or even relative communicative competence of a person; however, that does not mean it cannot be done. Some authorities such as Dr. Robert Cervantes of the California State Department of Education and Dr. John Oller of the University of New Mexico have said that the judgment of a teacher with the proper linguistic training is as reliable as any test. A study conducted by J. Damiko and J. Oller (1980) found that teachers who were taught to use pragmatic criteria in identifying language disordered children identified significantly more children and were more often correct in their identification than teachers taught to use syntactic criteria.

How can linguistically trained teachers assess their students' communicative competence? Testing procedures fall into two fields--discrete item testing and pragmatic testing. Discrete item tests are promoted by psychometricians or psycholinguists. They feel that such elements as reliability and validity are important characteristics of any test. Pragmatic tests, on the other hand, are backed by sociolinguists and linguistic practitioners or people from the field of applied linguistics who are more apt to depend on skilled intuitive judgment. The first person to suggest that both tests have their place in determining communicative or linguistic competence was Dr. J. B. Carroll, who had both backgrounds.

The discrete item test measures some aspect or trait of language proficiency in each item. It can be criterion referenced according to some taxonomy such as a vocabulary item, a syntactic structure, or a reading skill. It usually is objectively scored. The pragmatic test

deals with performance in a situation--the student's capacity to use the language fluently, appropriately, and correctly. Both kinds of assessments have their place, but it is important to know what each can and cannot indicate about the overall communicative competence of a student.

First of all, what is a discrete item test, and what use should be made by the teacher of such tests? A discrete item test, according to its proponents, is a more reliable way of measuring traits, skills, or knowledge since it measures only one thing at a time and usually allows for little subjectivity in scoring. It may be multiple choice, matching, fill in the blanks (Cloze), etc., but only one answer is correct and there is no discussion as to what "correctness" entails. An item may deal with a problem of vocabulary, of syntax, of comprehension, etc., but other variables will be controlled, since the item will be only a sample of the larger domain. Most teachers are familiar with discrete item tests, since most standardized tests follow this format.

Discrete item tests have their use by teachers in diagnostic and prescriptive ways. It helps the teacher to know that Johnny may be able to recognize the difference between /s/ and /z/ on an auditory discrimination test. He may even be able to produce them correctly when reading a list of minimal pairs but in spontaneous production still confuse them.

How, then, can "performance" or "use" of language be measured? Pragmatic testing involves a simulated experience where the student must put to use in an integrative "spontaneous" way his controls of the language in a productive way. Good language teachers have always done this in their class situation through role playing or paired dialogues or interviews. It does have its problem in that the scoring may be highly subjective. What determines correctness? What about the child who on

the playground may be very productive but in any structured test situation freezes or makes nervous mistakes? How can you make sure that the structure or vocabulary you want to examine appears in the speech sample?

In the U.S., pragmatic tests have become increasingly popular as oral language proficiency measures have appeared, and pressure has come upon schools to determine a child's proficiency in a given language. In other parts of the world, particularly in the British Commonwealth, these tests have been around for some time. This author remembers administering the Cambridge First Level Test of English Proficiency in a Third World country some years back, and versions of the test have been around for years before that. The test consisted of several parts, three of which were an oral interview, an objective reading comprehension test, and a writing sample. The oral interview also consisted of several subparts:

(1) The interviewee chose one of three kinds of personal experiences to relate (i.e., a trip he had taken, a movie he had seen, a frightening experience he had had).

(2) The interviewee reacted to several visual cues for description.

(3) The interviewee chose a topic from a choice of three (domains of philosophy, history, etc.) to ask and answer questions.

In each section the interviewer was to rate, on a five point scale of fair to excellent, the student's fluency, control of syntax, pronunciation and intonation, and vocabulary selection. In order to achieve interrater reliability, interviewers spent two days interviewing persons of varying degrees of English proficiency and agreeing on what constituted each of the degrees on the five point scale.

CLOZE PROCEDURE

One of the types of pragmatic tests recommended by John Oller in his book, Language Tests at School, is the "Cloze" test. A Cloze test

can be used to test reading comprehension skills as well as more discrete grammar points. To qualify as a pragmatic test, the best procedure is to delete every "#th" word after the first sentence. For example, in a passage of approximately 60 words one might omit every 5th word. The number of words the person can supply correctly is an indication of his skill in comprehending and processing the material. Care must be taken in the selection of the passage, since even for native speakers it has been shown that material which is outside the experience or is not "scripted" in the brain of the reader is difficult to reconstruct and bring closure to. The test can be scored in two ways: 1) exact words or 2) contextually appropriate words counting as correct:

President Reagan was recently shot. The man who shot (him) is now locked up (in) a prison. He will (soon) - contextually appropriate - be brought to trial. (someday) - exact

John Oller also emphasizes the importance of meaningful tasks. The ego of the person being tested must be involved. He suggests retelling a story or a movie, taking a dictation, executing a series of instructions and/or writing an essay as ways of testing the person's performance in the language.

# RECOMMENDED READINGS FOR PARTS 1 AND 2

Carroll, J. B. "The Psychology of Testing." In Language Testing Symposium. Ed. Alan Davis. New York: Oxford University Press, 1968.

Carroll, J. B. "Fundamental Considerations in Testing for English Language Proficiency of Foreign Students." In Teaching English as a Second Language: A Book of Readings. Ed. H. B. Allen and R. N. Campbell. New York: McGraw Hill, 1972.

Cronback, L. J. Essentials of Psychological Testing. New York: Harper and Row, 1970. Chapter 5 on validity.

Dieterich, Thomas, Cecilia Freeman, and JoAnn Crandall. "A Linguistic Analysis of Some English Proficiency Tests." TESOL Quarterly, 13, 4, December 1979.

Lado, Robert. Language Testing. New York: McGraw Hill, 1961.

Oller, John W., Jr. Language Tests at School. London: Longman, 1979. Chaps. 3, 7, 8, 9, and 11. (Longman in New York: 19 West 44th Street, NY 10036; phone (212) 764-3950.)

# Activities for Parts 1 and 2

# ACTIVITY I

Assessing Oral Language in L1

Age: K-1

Pragmatic Test

Task: Child is to see some pictures and tell a story about the pictures (Ilyin).

1. As a group, decide what aspects of language will be assessed, such as pronunciation, syntax, vocabulary, creativeness, sequence. Choose a minimum of four of the above or add your own.

2. Develop a rating scale for each of the aspects you have decided to assess. What constitutes a low, fair, good, or excellent level of proficiency?

3. Discussion and evaluation

   a. On what basis did you choose the aspects of language you should assess? What will these aspects tell you?

   b. How can the information gained from such an assessment measure aid you as a classroom teacher?

   c. What problems do you see with this kind of test? for the child? for the evaluator?

   d. How reliable is it? Does the personality of the child or the administrator affect the outcome?

   e. Would the task be equally suitable for other age groups? Why?

   f. Would the grading scale be different for a different age group? Why?

   g. Discuss how this assessment measure could be modified for an L2 situation for the same age group. What additional linguistic skills would the administrator need? Would the criteria chosen in Task 1 be the same?

# GUIDELINES FOR DISCUSSION QUESTIONS

## ACTIVITY I

a. The aspects of language chosen to assess should give the greatest amount of information on the stages of language development. Example: Vocabulary and sequence reflect cognitive skills which should be reflected in L2 at the K-1 level.

b. The information gained from such an assessment will aid the teacher in grouping and meeting individualized needs in the classroom.

c. One problem with this kind of test is its subjectivity. The child may feel uncomfortable. The evaluator may not have the necessary sensitivity.

d. The reliability is dependent upon the rating scale. The personality of both the child and the administrator will affect the outcome of the test.

e. Yes, the task would be equally suitable for other age groups in assessing native language. All ages can tell a story based on visual stimuli.

f. The rating scale would vary at different age groups, since more cognitive factors would be important with older students.

g. The administrator would need a knowledge of L2 acquisition stages. The criteria would differ since syntax would become more important as a measure of acquisition.

# ACTIVITY II

Assessing Oral Language in L2

Age: Grade 6

Discrete item test: (cf. BSM II, MAT, SEA, CAL)

Task: Child is to select a picture corresponding to utterance he hears on tape.

1. As a group, decide what essential functions and structures of language a student needs in order to be able to comprehend auditorally. How many of these are needed for proficiency in L2?

2. Discussion and evaluation

   a. On what basis did you choose the essential functions and structures you consider necessary for proficiency?

   b. How can the information gained from such an assessment instrument aid you as a classroom teacher?

   c. What problems do you see with this kind of test?

   d. How reliable is it?

   e. Would the task be equally suitable for other age groups?

# GUIDELINES FOR DISCUSSION QUESTIONS

## ACTIVITY II

a. If a formal instrument was used, no choice was made. If a local instrument was used, attention should be paid to similarities so that knowing one word or concept such as plurality would indicate to the child which picture is being referred to. More than one word or concept needs to be involved.

b. A well designed instrument can give you information about the listening comprehension skills of a student for grouping and individualization. A poor one will not give you the needed information.

c. Problems include:

   1. Choice of picture and statements.

   2. Use of simple sentences rather than larger, complex ones.

   3. Insufficient integration for valid data.

d. It probably is reliable.

e. Yes, the test would be suitable for other age groups.

# ACTIVITY III

Assessing Reading in L1

Age: Grade 4

Discrete item test: (cf. CTBS in Spanish or Gates-McGinnity, CTBS, or other English reading test.)

1. As a group look at the comprehension and vocabulary subtests. Are the selections relevant to the student?
2. Examine the manual to see what the results of such a test can tell you.
3. Discussion and evaluation
   a. On what basis did you choose the test?
   b. How can the information from such an assessment instrument help you as a classroom teacher?
   c. What problems do you see with this kind of test? for the child? for the evaluator?
   d. How reliable is it? Does the personality of the child affect the outcome?
   e. Would a similar task be equally suitable for all age groups?

# GUIDELINES FOR DISCUSSION QUESTIONS

## ACTIVITY III

a. The test should be chosen on its appropriateness to the target population.

b. Information gained from the assessment can be used for grouping and individualization in the classroom.

c. Problems with this kind of test may include biases in terms of culture, sex, race, etc. These problems are for the child; for the administrator problems do not exist. The test is easy to administer and score.

d. Depending on the purpose for which it will be used, the test is valid. Standardized tests do meet the reliability criteria. The personality of the child probably does not affect the outcome.

e. No, it is not suitable for very young children who do not read.

# ACTIVITY IV

Assessing Reading in L2

Age: Grade 10 (intermediate ESL)

Pragmatic test: Cloze procedure

1. As a group select a passage from a book at the appropriate level. You might use a book from a series like the Longman's Structural Readers or the Newbury House Structural Readers. In the passage decide which words you will delete; you may wish to do every 7th word after the first sentence.

2. As a group decide on a rating scale. Will other words be accepted or only the word which appeared in the original text?

3. Discussion and evaluation

   a. On what basis did you choose the words to be deleted? Could you have made other choices?

   b. How can the information gained from such an instrument aid you as a classroom teacher? Could this same procedure be used as a teaching device?

   c. What problems do you see with this kind of test?

   d. How reliable is it? How would the rating scale affect the reliability?

   e. Would the task be equally suitable for other age groups?

   f. Would the grading scale be different if the age group were different? Why?

# GUIDELINES FOR DISCUSSION QUESTIONS

## ACTIVITY IV

a. Some factors, such as difficulty and purpose, affect the choice of words to be deleted; for example, in grammar points, articles are easier than prepositions; every fifth word is harder than every eighth word. The more frequently the blanks appear, the more difficult the test will be. A high number of nouns, adjectives, and verbs makes the test harder than the same number of articles or prepositions.

b. This kind of test gives clues to the students' use of the vocabulary and grammar. It works well as a teaching device particularly when working on difficult items, such as prepositions or verb tenses.

c. One problem lies in the selection of appropriate passages, as they can be culturally biased.

d. This kind of test can be very reliable. It would depend on using the "exact" word or "contextually appropriate" word in the rating. The latter can lead to problems of reliability.

e. This task is suitable for most age groups after K-1 and 2.

f. The rating scale would not really be different.

# ACTIVITY V

Assessing Writing in L1

Age: Grade 3

Pragmatic test: Writing a paragraph

Task: Students will see a short movie. They will then write a paragraph (a) telling why they liked or disliked it, (b) summarizing it, or (c) finishing it or telling what came before it.

1. As a group decide on a movie and establish how much time the students should have to write the paragraph.

2. Establish a rating scale for a holistic grading procedure. Include criteria on content (ideas, vocabulary, sequence, etc.) and criteria on mechanics (spelling, syntax, etc.). What constitutes a low, fair, good, or excellent level of proficiency?

3. Discussion and Evaluation

   a. On what basis did you decide on the criteria for the rating scale? Are they equally important?

   b. How can the information from such an assessment measure aid you as a classroom teacher?

   c. What problems do you see with this kind of assessment? for the child? for the evaluator?

   d. What special skills does the evaluator need if any?

   e. How reliable is it? Does the personality of the child in any way affect the outcome?

   f. Would the task be equally suitable for other age groups?

   g. Would the grading scale be different for a different age group? Why?

   h. How could a similar test be used for assessing writing in L2?

## GUIDELINES FOR DISCUSSION QUESTIONS

## ACTIVITY V

a. Content should probably count much more than mechanics at this age. Sequence might be more important than specific vocabulary, etc.

b. This task gives clues to many cognitive skills as well as language skills. It can be used to group and individualize in the classroom.

c. Problems of learning styles are lessened by using a movie rather than a tape by itself, since it is multisensory. Students may find writing hard, and it takes considerable time to score.

d. No special skills are needed to administer such an instrument, but a knowledge of linguistics and a command of writing skills are needed to grade it.

e. It is highly subjective and thus reliability is decreased. A creative, verbal child would have an advantage.

f. The task is suitable for middle and upper grades.

g. Yes. Vocabulary and mechanics would become more important with the higher grades.

h. The same procedure can be used, but the rating scale would have to be different.

# ACTIVITY VI

**Assessing Writing in L2**

**Age Grade 6**

**Repeat the activity you did for native language making the necessary modifications in terms of grading scale.**

# GUIDELINES FOR ACTIVITY VI

Modifications would include:

1. The movie selected would have to be shorter and simpler.
2. One might wish to have the students retell or summarize rather than finish the story.
3. Syntax as criteria would have to reflect developmental stages.

The administrator and grader would need knowledge about second language acquisition and skills in measuring the developmental stages.

# Part 3--Exit: Issues and Process

PAST MISINTERPRETATION OF COMPETENCE

Historically, the 1968 Bilingual Education Act was directed at "children who came from environments where the dominant language was other than English." In 1974 the amendments broadened the definition to children of limited English speaking ability. Then, the 1978 law expanded the act's coverage considerably and no longer required a premature exit (once children had gained the ability to speak English although their overall English proficiency might still be limited). Nevertheless, students were still not to be allowed to continue receiving bilingual instruction once they had developed English proficiency (Title VII Regulations, 1974, 1978).

The 1968 and 1974 definitions of the target population were based solely on speaking performance. The 1978 definition encompasses reading and writing but still bases its theoretical framework solely on language. This reliance on language as the sole determiner of bilingual student underachievement has been termed as the "linguistic mismatch hypothesis" by Cummins (1979) and other psycho and sociolinguists. The occurrence of this linguistic mismatch stems from early attempts by linguists to explain poor academic achievement of minority language children.

As one follows the linguists' trends in the United States, one can see where the major emphasis of their research has been in the last 30 years. Figure 1 demonstrates these trends (Shuy, 1980). The triangle also serves to demonstrate the size of the unit of analysis. For instance, in the 50s sounds, word endings, i.e., the smallest units of analysis were in vogue. In the 60s Chomsky spearheaded the concentration on whole sentences and their meaning; but by the 70s, linguists and sociolinguists,

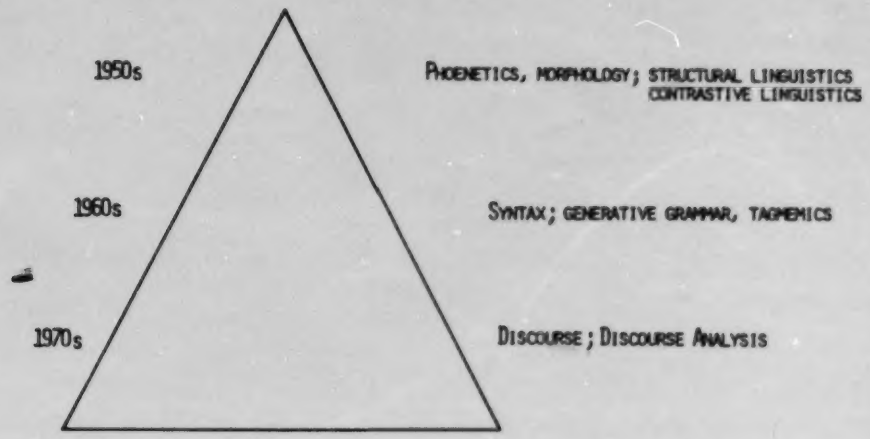


FIGURE 1

(From R. W. Shuy. "Communicative Competence." A presentation at Multidistrict Teacher Trainers Institute, Redlands, CA, 1980, and Coachella, CA, 1981. By permission.)

by articulating with each other, discovered that meaning comes from more than the analysis of a kernel sentence. Today sociolinguists, anthropologists, and psychologists know that meaning is derived from setting, participant, role relationships, and verbal strategies that go beyond the unit of a sentence. Unfortunately, the Bilingual Education Act was written reflecting the top and center portions of that triangle. Studies on discourse analysis and other recent studies on bilingual education must not have been considered, since the guidelines were instead based on the linguistic mismatch hypothesis.

The mismatch hypothesis focused on the visible surface forms of L2 (phonetics, morphology, vocabulary, kernel sentences) and ignored the underlying proficiencies. Roger Shuy's (1976) "iceberg" metaphor (see Figure 2) demonstrates the visible language proficiencies (those above the water) and the underlying proficiencies (below the water). The surface

structures are those that are taught year after year in English-as-a-second-language classes, from one grade to another, through pattern drills and vocabulary lists.

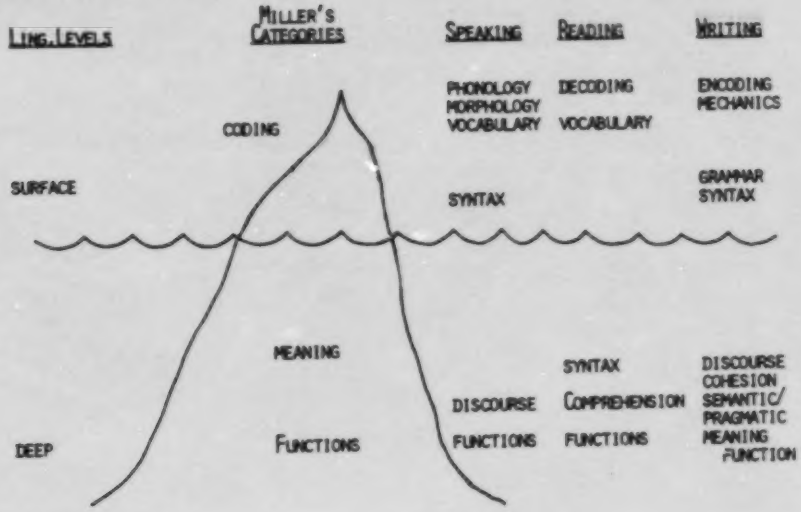


FIGURE 2

A DEEP TO SURFACE REPRESENTATION OF THE LANGUAGE CONTEXT ASPECTS OF LANGUAGE

(From R. W. Shuy. "Assessing Oral Language Abilities in Children." In L. Feagans and D. C. Farran, [Eds.], The Language of Children Reared in Poverty, Figure 9.1, p. 185. Copyright 1982 by Academic Press, New York. By permission.)

These same surface forms are also assessed through current language proficiency assessment instruments in order to transition students out of bilingual programs.

The deep structures below the water in Shuy's metaphor are the functional aspects of cognitive as well as linguistic development. These underlying proficiencies have been "usually ignored in curriculum as well as in policy decisions regarding the language of instruction" (Cummins, 1980). Consequently, none of the mandated assessment instruments presently deal with deep structures either.

## BICS AND CALP HYPOTHESIS

Cummins borrowed Shuy's iceberg metaphor to represent his theory of BICS and CALP. BICS is the basic interpersonal communicative skills that everyone acquires regardless of IQ or academic performance. CALP is the cognitive/academic language proficiency that refers to the dimension of language proficiency that is related to literacy skills (Figure 3).

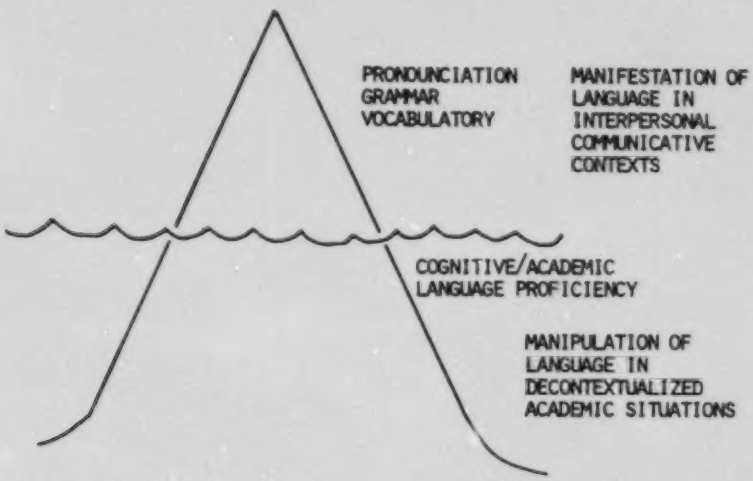


FIGURE 3

THE "ICEBERG" REPRESENTATION OF LANGUAGE PROFICIENCY

Current studies on bilingual education indicate that the cognitive/academic aspects of L1 and L2 are interdependent and that the development of proficiency in L2 is partially a function of the level of L1 proficiency at the time when intensive exposure to L2 begins (Lambert and Tucker, 1972; Cohen and Swain, 1976; Rosier and Farella, 1976; Skutnabb-Kangas and Toukomaa, 1976; Cummins, 1977; Troike, 1978; Legarreta, 1979). During a Multidistrict Teacher Trainers Institute (Riverside, CA, 1980), Cummins and Shuy reworked the iceberg methaphor to represent the Interdependence Hypothesis of bilingual proficiency (Figure 4). The dual-iceberg methaphor expresses the point that

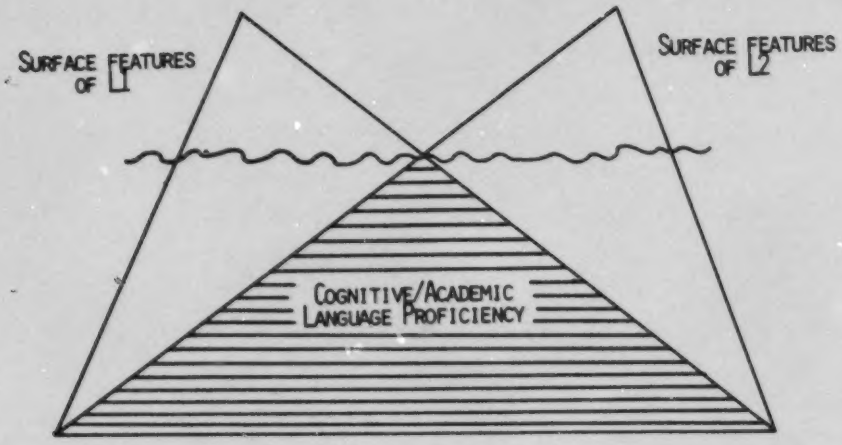


FIGURE 4

THE "DUAL-ICEBERG" REPRESENTATION OF BILINGUAL PROFICIENCY

despite the obvious differences between L1 and L2 in terms of the surface features of phonology, syntax, and lexicon, there is a common underlying proficiency that determines an individual performance on cognitive/academic tasks in both L1 and L2. This developmental Interdependence Hypothesis proposes that development of competence in L2 is partially a function of the type of competence already developed in L1. If L1 is not developed to a given level, L2 will also suffer. Skutnabb-Kangas and Toukomaa (1977) illustrated the results of degrees of L1 development through the Threshold Hypothesis (Figure 5), which proposes that there may be threshold levels of linguistic competence which a bilingual child must attain both to avoid cognitive disadvantages (English proficiency) and to allow the potentially beneficial aspects of bilingualism to influence his/her cognitive and academic functioning.

Testing for the Exit Threshold. The reason teachers and others often prematurely assume that minority children have attained sufficient English proficiency to exit to an English-only program is that they focus on the surface manifestations of English proficiency (e.g., accent, fluency, gram-

mar, etc.) and ignore the CALP which underlies English literacy development. Fluency in English BICS is no more a sufficient condition for adequate

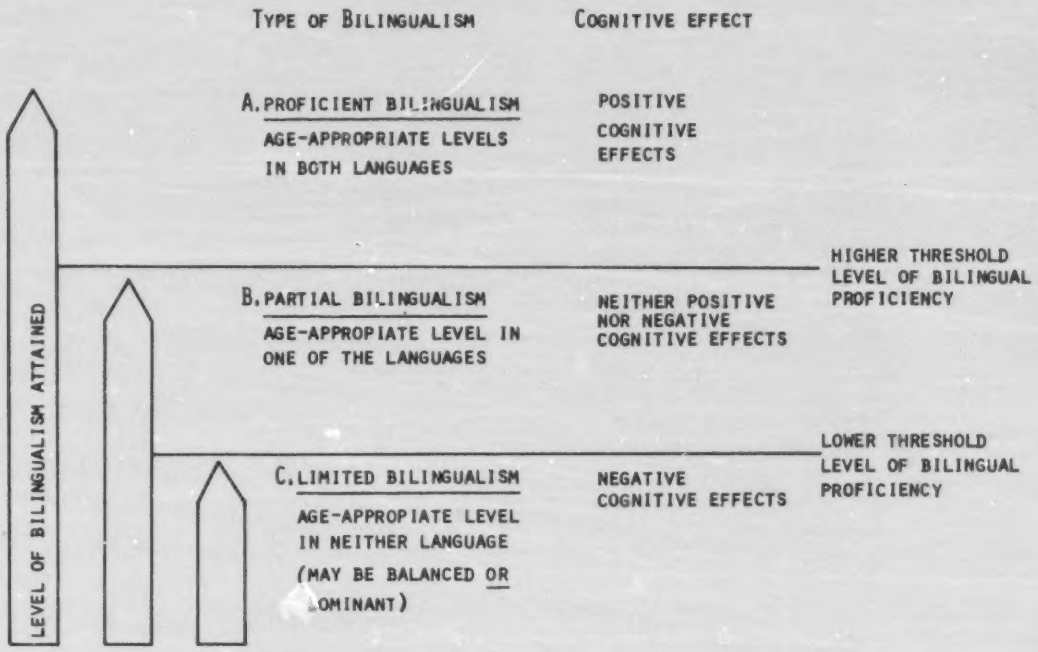
TYPE OF BILINGUALISM
COGNITIVE EFFECT
A. PROFICIENT BILINGUALISM
AGE-APPROPRIATE LEVELS IN BOTH LANGUAGES
POSITIVE COGNITIVE EFFECTS
HIGHER THRESHOLD LEVEL OF BILINGUAL PROFICIENCY
B. PARTIAL BILINGUALISM
AGE-APPROPIATE LEVEL IN ONE OF THE LANGUAGES
NEITHER POSITIVE NOR NEGATIVE COGNITIVE EFFECTS
LOWER THRESHOLD LEVEL OF BILINGUAL PROFICIENCY
C. LIMITED BILINGUALISM
AGE-APPROPIATE LEVEL IN NEITHER LANGUAGE
(MAY BE BALANCED OR DOMINANT)
NEGATIVE COGNITIVE EFFECTS
LEVEL OF BILINGUALISM ATTAINED

FIGURE 5

COGNITIVE EFFECTS OF DIFFERENT TYPES OF BILINGUALISM

(By Jim Cummins. Adapted from Toukomaa and Skutnabb-Kangas, 1977, p. 29.)

development of English reading skills in a bilingual child than it is in an English monolingual child. Thus, tests such as the Basic Inventory of Natural Language (BINL) or the Bilingual Syntax Measure (BSM) which attempt to focus mainly on "natural communication" should not be used as criteria for exit from a bilingual program. Although there is absolutely no educational justification for mainstreaming children from a bilingual program, measures of English CALP (e.g., standardized reading tests) or L1 CALP are the criterion measures most likely to indicate when children are capable of surviving academically in an English-only program. The

studies reviewed above suggest that (1) a realistic exit threshold of English CALP is unlikely to be reached before grade 5 or 6, and (2) attainment of this exit threshold of English CALP among minority groups that tend to exhibit poor school performance under English-only conditions will be strongly related to the extent to which L1 CALP has been promoted by the bilingual program (Cummins, 1979-80).

The issue of appropriate "exit criteria" has long been recognized by State Education Agencies. Both federal and state requirements provide firm direction for development of exit (or reclassification, as the term California prefers to use) guidelines (see Office for Civil Rights Act, 1975; U.S. OHEW, 1977, 1980; Chacon-Moscone Bilingual Education Act of 1976). The California Reclassification Committee found that besides the already cited limitations of language proficiency tests, judgments by untrained observers regarding the language proficiency of students were often inconsistent and were unduly influenced by the ethnicity of the observer and the student, by socioeconomic status, by accentedness of speech, and by the setting in which the observation took place (Cervantes and Archuleta, 1979).

This seemingly simple classification decision is, in fact, complicated by many factors. It is, therefore, imperative that a multicriteria approach be used to reclassify Limited English Proficiency (LEP) students to Fluent English Proficiency (FEP) students. As an example of a process for reclassifying students, the California Model, which has been adopted and adapted by Texas and other states, will be utilized here.

Recommendations of California SBRC: In its August 1979 report the State Bilingual Reclassification Committee (SBRC) made four recommendations regarding the design of a reclassification process:

- Use a multicriteria system model for the most accurate and complete assessment of the student skills.

- Use appraisal teams, rather than a single individual, to review the information collected and to make the classification and placement decisions. Include the student's parent on the team and ensure that adequate notice is given both of the appraisal team meeting and of its decisions.

- Use local nonminority students as the reference group, and an expectancy band defined by the thirty-sixth percentile and the sixty-fourth percentile, as the lower and upper boundaries of the band, respectively, as the comparison standard for student achievement.*

- Provide follow-up assessment after reclassification to ensure that students are correctly classified, are functioning adequately in their placement, and are provided supportive services as necessary to sustain language and academic growth.

## RECOMMENDED RECLASSIFICATION PROCESS

There are seven steps in the reclassification process:

Step 1: Reclassification is recommended.

Step 2: The Student Appraisal Team (SAT) membership is determined, and members are notified.

Step 3: Information is compiled.

Step 4: The SAT meets to consider information.

Step 5: Classification and placement decisions are made and documented.

Step 6: Thirty-day follow-up procedures are completed.

Step 7: Six-month follow-up procedures are completed.

At each step the purpose of the step is described, personnel and other resource requirements are indicated, and procedures to be employed are detailed. A complete flow chart of the process is included in Section III

* This issue is still pending legislative acceptance.

of the Key Trainer's Manual (1980) available from the California State Department's Office of Bilingual Bicultural Education.

## RECOMMENDED READING FOR PART 3

Oller, John W., Jr. Language Tests at School. New York: Longman, 1979. Chaps. 6 and 13.

# Part 4--Wanted: A Theoretical Framework for Relating Language Proficiency to Academic Achievement Among Bilingual Students[1,*]

It is argued in the present paper that a major reason for the confused state of the art of language proficiency assessment in bilingual programs (and indeed for the confusion surrounding the rationale for bilingual education) stems from the failure to develop an adequate theoretical framework for relating language proficiency to academic achievement. Without such a theoretical framework it is impossible either to develop rational entry and exit criteria for bilingual programs or to design testing procedures to assess these criteria. Before elaborating the present theoretical framework, I shall briefly outline the evolution of its central tenets. The purpose of this is two-fold: first, to illustrate how the construct of "language proficiency" is central to a variety of seemingly independent issues in the education of language minority and majority students; and second, to help clarify how the present framework is related to theoretical constructs elaborated in previous papers.

## Evolution of the Theoretical Framework

Consideration of the apparently contradictory influences of bilingualism on cognitive and academic functioning reported in the research literature gave rise to ar initial hypothesis regarding the relationship between bilingual skills and cognition. Based on the fact that the development of age-appropriate proficiency in two languages appeared to be associated with cognitive advantages and that the attainment of only rela-

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tively low levels of bilingual proficiency was associated with cognitive disadvantages, it was hypothesized that there may be two threshold levels of linguistic proficiency: the first, lower, threshold had to be attained by bilingual children in order to avoid cognitive disadvantages and the second, higher, threshold was necessary to allow the potentially beneficial aspects of bilingualism to influence cognitive growth (Cummins, 1976, 1979; Toukomaa and Skutnabb-Kangas, 1977).

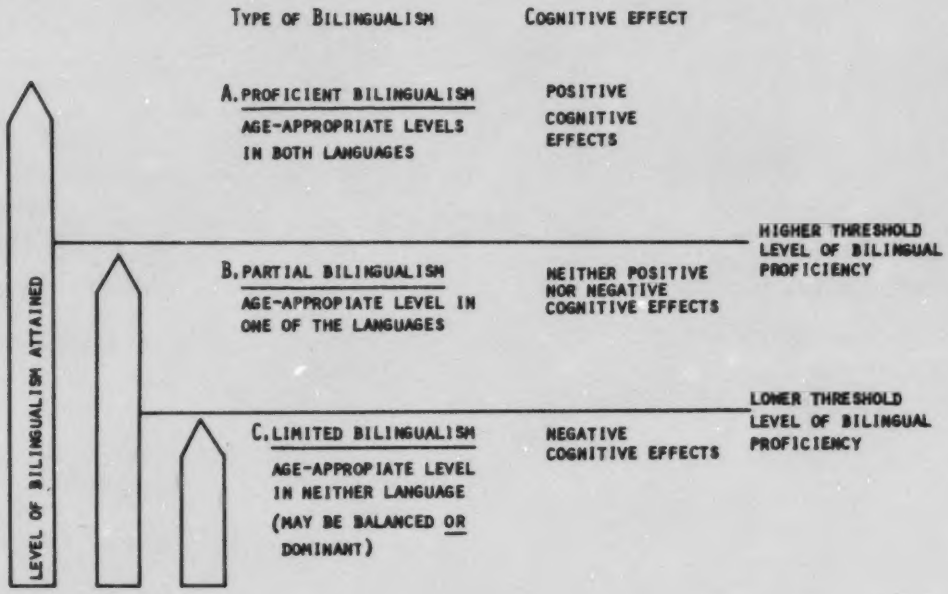
TYPE OF BILINGUALISM
COGNITIVE EFFECT
A. PROFICIENT BILINGUALISM
AGE-APPROPRIATE LEVELS IN BOTH LANGUAGES
POSITIVE COGNITIVE EFFECTS
HIGHER THRESHOLD LEVEL OF BILINGUAL PROFICIENCY
B. PARTIAL BILINGUALISM
AGE-APPROPIATE LEVEL IN ONE OF THE LANGUAGES
NEITHER POSITIVE NOR NEGATIVE COGNITIVE EFFECTS
LOWER THRESHOLD LEVEL OF BILINGUAL PROFICIENCY
C. LIMITED BILINGUALISM
AGE-APPROPIATE LEVEL IN NEITHER LANGUAGE
(MAY BE BALANCED OR DOMINANT)
NEGATIVE COGNITIVE EFFECTS
LEVEL OF BILINGUALISM ATTAINED

FIGURE 1

COGNITIVE EFFECTS OF DIFFERENT TYPES OF BILINGUALISM

(By Jim Cummins. Adapted from Toukomaa and Skutnabb-Kangas, 1977, p. 29.)

The postulation of two thresholds was clearly speculative, but the hypothesis has proven useful in interpreting subsequent research findings (e.g., Duncan and De Avila, 1979; Kessler and Quinn, 1980). One of the issues raised by the hypothesis has recently emerged as a central question in the educational debate about exit criteria in the context of U.S.

bilingual programs, namely: "When does a language minority student have sufficient English proficiency (i.e., a threshold level) to participate effectively in an all-English classroom?"

However, the hypothesis did not consider in any depth the nature of the bilingual proficiencies which constituted the "thresholds," except to note that the thresholds would vary according to the linguistic and and cognitive demands of the curriculum at different grades. This was considered to be an empirical issue; however, as the continuing debate about exit criteria demonstrates, the relevant empirical studies remain to be done.

The threshold hypothesis was intended to provide a framework for predicting the cognitive and academic effects of different forms of bilingualism. However, in its initial formulation (Cummins, 1976), the relationships between L1 and L2 proficiency were not explicitly considered. The threshold hypothesis was later (Cummins, 1978) supplemented by the "Interdependence" Hypothesis which suggested that L1 and L2 academic proficiencies were developmentally interdependent, i.e., in educational contexts the development of L2 proficiency was <u>partially</u> dependent upon the prior level of development of L1 proficiency. Thus, as reported initially by Skutnabb-Kangas and Toukomaa (1976) and replicated in subsequent studies (see Cummings, 1981, for a review), older immigrant students (10-12 years old), whose academic proficiency (e.g., literacy skills) in L1 was well established, developed L2 academic proficiency more rapidly than younger immigrant students. They also attained higher levels of L1 academic proficiency.

Following Skutnabb-Kangas and Toukomaa (1976), a distinction was made between L2 "surface fluency" and more cognitively and academically related aspects of language proficiency (Cummins, 1979). Because the literacy

skills of many language minority students were considerably below age-appropriate levels, it was suggested that the ability of these students to converse in peer-appropriate ways in everyday face-to-face situations (in both L1 and L2) represented, in some respects, a "linguistic facade" hiding large gaps in academically related aspects of L1 and L2 proficiency (Cummings, 1979; Skutnabb-Kangas and Toukomaa, 1976). However, it was strongly emphasized that language minority students' educational deficits were a function of inappropriate treatment by the school, and that their basic cognitive abilities and command of the linguistic system of their L1 were in no sense deficient (e.g., Cummins, 1979, p. 240).

In subsequent papers (Cummins, 1980a, 1980b) these two aspects of language proficiency were referred to as "basic interpersonal communicative skills" (BICS) and "cognitive/academic language proficiency" (CALP). The distinction was formalized in this way in order to facilitate communication to practitioners involved in educating language minority students. As outlined later in this paper, the failure of educators to take account of this distinction was (and is) actively contributing to the academic failure of language minority students. For example, because students appear to be able to converse easily in English, psychologists often consider it appropriate to administer an individual norm-referenced verbal IQ (CALP) test. Similarly, students are frequently exited from bilingual classrooms on the assumption that because they have attained apparently fluent English face-to-face communicative skills, they are "English proficient" and capable of surviving in an all-English classroom.

The CALP-BICS distinction was <u>not</u> a distinction between "communicative" and "cognitive" aspects of language proficiency. It was emphasized (Cummins, 1980b) that BICS referred only to some salient rapidly developed aspects of communicative proficiency and that children's social and prag-

matic communicative skills encompassed much more than the relatively superficial aspects (e.g., accent, fluency etc.) upon which educators frequently based their intuitive judgments of language minority students' English proficiency. Similarly, it was stressed that CALP was socially grounded and could only develop within a matrix of human interaction.

Within the framework of the CALP-BICS distinction the Interdependence Hypothesis was reformulated in terms of the "common underlying proficiency" (CUP) model of bilingual proficiency in which CALP in L1 and L2 (e.g., reading skills) were regarded as manifestations of one underlying dimension (Cummins, 1980a, 1980b). This common underlying proficiency is theoretically capable of being developed through instruction in either language (see the "dual-iceberg" diagram in Figure 2). Thus, instruction in Spanish in a U.S. bilingual program for language minority students or instruction in French in a Canadian French immersion program for majority students is not developing only Spanish or French academic skills; it is developing also the general cognitive and academic abilities which underlie English

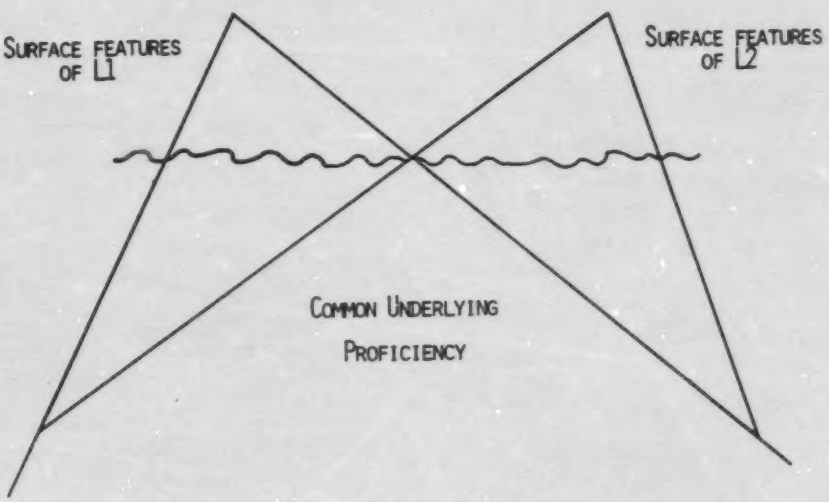


FIGURE 2

THE DUAL-ICEBERG REPRESENTATION OF BILINGUAL PROFICIENCY

achievement. Hence the rapid transfer of literacy skills across languages is observed in these programs. Whether or not instruction in a particular language (L1 or L2) will successfully develop CALP will depend on socio-cultural factors as much as pedagogical factors (Cummins, 1980b).

In the present paper the distinction that was made between CALP and BICS is elaborated into a theoretical framework for relating language proficiency to academic achievement among bilingual students. The terms "CALP" and "BICS" are not used because of concerns expressed about possible misinterpretation of their meaning and implications; however, the basic distinctions highlighted by these terms are unchanged. The necessity to make such distinctions can be illustrated by the confused state of the art of language proficiency assessment in bilingual programs.

Language Proficiency Assessment in Bilingual Programs

A cursory examination of the many tests of language proficiency and dominance currently available for assessing bilingual students (see, e.g., De Avila and Duncan, 1978; Dieterich, Freeman and Crandell, 1979) reveals enormous variation in what they purport to measure. Of the 46 tests examined by De Avila and Duncan (1978), only four included a measure of phoneme production, 43 claimed to measure various levels of lexical ability, 34 included items assessing oral syntax comprehension, and 9 attempted to assess pragmatic aspects of language.

This variation in language tests is not surprising in view of the lack of consensus as to the nature of language proficiency or "communicative competence." For example, Hernández-Chávez, Burt and Dulay (1978) have outlined a model of language proficiency comprising 64 separate components, each of which, hypothetically at least, is independently measurable. By contrast, Oller and Perkins (1980) have argued that

> a single factor of global language proficiency seems to account for the lion's share of variance in a wide variety of educational tests including nonverbal and verbal IQ measures, achievement batteries, and even personality inventories and affective measures. . . . the results to date are . . . preponderantly in favor of the assumption that language skills pervades every area of the school curriculum even more strongly than was ever thought by curriculum writers or testers. (p. 1)

This global dimension is not regarded by Oller (in press) as the only significant factor in language proficiency, but the amount of additional variance accounted for by other factors is relatively modest.

The considerable evidence that Oller and his colleagues (e.g., Oller and Streiff, in press) have assembled to show that academic and cognitive variables are strongly related to at least some measures of all four general language skills (listening, speaking, reading, and writing) raises an important issue for the assessment of entry and exit criteria in bilingual programs: to what extent should measures of language proficiency be related to measures of academic achievement? In other words, to what extent does the construct of language proficiency overlap with the constructs of "intelligence" and academic achievement?

This theoretical question has rarely been asked; instead, researchers have either asked only the empirical question of how language proficiency is related to achievement (often expressed in terms of the relation between "oral language" and reading) or else ignored the issue entirely, presumably because they do not consider it relevant to language proficiency assessment in bilingual education. However, the theoretical issue cannot be avoided. The relationship of language proficiency to academic achievement must be considered in view of the fact that a central purpose in assessing minority students' language dominance patterns is to assign students to classes taught through the language in which it is assumed

they are most capable of learning and in which they will most readily acquire academic skills. If measures of language proficiency bear no relationship to students' acquisition of academic skills, their relevance in the context of entry and exit criteria is open to question. This issue requires theoretical resolution rather than empirical because, as will be discussed below, some language measures correlate highly with achievement while others show a negligible relationship. Without a theoretical framework within which language proficiency can be related to the development of academic skills, there is no basis for choosing between alternative tests which are clearly measuring very different things under the guise of "language proficiency."

Essentially, what is at issue are the criteria to be used in determining the validity of language proficiency measures in the specific context of bilingual education. Whether we are talking about content, criterion-related, construct, face, or ecological validity, our procedures for determining validity are always based on a theory regarding the nature of the phenomenon being measured. In many cases, however, this theory has remained implicit in language test development for bilingual students and, where the theory has been made explicit, the construct of language proficiency has usually been regarded as independent of the constructs of intellectual and academic abilities.

Thus, it is reported (see Oakland, 1977, p. 199) that on the Basic Language Competence Battery there is little or no increase in scores across the elementary grades among native speakers. This is interpreted as evidence for the construct validity of the battery in that it is indeed measuring "language knowledge" rather than intellectual abilities or educational achievement. In arguing against "language deficit" theories, many sociolinguists (e.g., Labov, 1970; Shuy, 1977) have similarly asserted

that language proficiency is independent of cognitive and academic performance. Shuy (1977, p. 5), for example, states that "rather compelling evidence rejects every claim made by those who attempt to show linguistic correlates of cognitive deficit."

One apparent implication of the theoretical position that "language proficiency" is independent of intellectual abilities and academic achievement is that language measures such as the integrative tests (e.g., oral cloze, dictation, elicited imitation) used in the research of Oller and others (see Oller and Perkins, 1980; Oller and Streiff, in press) would have to be rejected as invalid to assess the construct of "language proficiency" because of their strong relationships to achievement and IQ.[2]

Many theorists would regard any form of contrived test situation as inadequate to assess language proficiency, arguing instead for procedures which assess children's language in naturally occurring communicative situations (e.g., Cazden, Bond, Epstein, Matz, and Savignon, 1977; Dieterich et al., 1979). For example, Dieterich et al. argue in relation to an elicited imitation task that "it mirrors no real speech situation and is thus of questionable validity in assessing proficiency" (1977, p. 541).

Although the requirement that proficiency measures reflect "naturally occurring speech situations" is a basic principle of validity for many theorists, few pursue the issue to inquire whether or not the communicative demands of natural face-to-face situations are identical to the communicative demands of classroom situations. In classrooms, students' opportunity to negotiate meaning with the interlocutor (teacher) is considerably reduced as a result of sharing him or her with about 25-30 other students, and there is considerable emphasis on developing proficiency in processing written text where the meaning is supported largely by linguistic cues rather than the richer "real-life" cues of face-to-face communication.

These issues are being raised not to argue against the assessment of "language proficiency" in naturally occurring situations but rather to show the need for a theoretical framework which would allow the construct of language proficiency to be conceptualized in relation to the acquisition of academic skills in bilingual programs. The urgency of this need can be seen from the fact that the most commonly used tests of language proficiency and dominance for minority students clearly embody different theoretical assumptions in regard to the relationship between language proficiency and achievement. The Language Assessment Scales (LAS) (De Avila and Duncan, 1977), for example, are reported to show consistently moderate correlations with academic achievement, whereas the Bilingual Syntax Measure (BSM) (Burt, Dulay, and Hernández-Chávez, 1975) and the Basic Inventory of Natural Language (BINL) (Herbert, 1975) tend to show much lower correlations with achievement (see Rosansky, 1981, for a review). All of these tests showed lower correlations with achievement than teachers' ratings of students' chances for academic achievement if instructed only in English (Ulibarri, Spencer and Rivas, 1980). This teacher variable accounted for 41 percent of the variance in reading achievement, and the BINL, BSM, and LAS added only zero, one and four percent respectively, to the prediction of reading achievement.

Apart from the issue of their relationship to academic achievement, the validity of these tests can be questioned on several other grounds. For example, Rosansky (1979) points out that the data elicited by the BSM English were unrelated to data elicited from taped naturalistic conversation of the same individuals. The LAS Spanish language classification is reported to underestimate the Spanish proficiency of native Spanish speakers considerably as assessed by either teacher ratings or detailed ethnolinguistic analysis of children's speech in a range of settings (Mace-Matluck, 1980).

This brief survey of assessment issues in bilingual education suggests that a major reason for the confused state of the art is that the developmental relationships between language proficiency (in L1 and L2) and academic performance have scarcely been considered, let alone resolved. The confusion about the assessment of "language proficiency" is reflected in the varied criteria used to exit language minority students from bilingual programs.

"English Proficiency" and Exit Criteria

Lack of English proficiency is commonly regarded by policy makers and educators as the major cause of language minority students' academic failure in English-only programs. Thus, it is assumed that students require bilingual instruction only until they have become proficient in English. Logically, after students have become "proficient in English," any difficulties they might encounter in an English-only program cannot be attributed to lack of English proficiency.

If we combine this apparent logic with the fact that the immigrant students generally appear to acquire a reasonably high level of L2 fluency within about 1½ - 2 years of arrival in the host country (Cummins, 1980c; Snow and Hoefnagel-Höhle, 1978), then one might assume that two years of bilingual education should be sufficient for students to make the transition to an English-only program. This line of reasoning is frequently invoked to justify exiting students out of bilingual programs after a relatively short period. It is assumed that because students can cope adequately with the communicative demands of face-to-face situations and may appear quite fluent in English, their English proficiency is sufficiently well-developed to cope with the communicative demands of the regular English-only curriculum on an equal basis with native English-speaking students.

There is considerable evidence to suggest that this logic is false. Bilingual programs which have been successful in developing a high level of English academic skills in language minority students have usually maintained instruction in L1 throughout elementary school. Usually it is only in the latter grades of elementary school that students approach grade norms in English reading skills (see Cummins, 1981 for a review). In a similar way, it has been shown (Cummins, in press) that it took immigrant students who arrived in Canada after the age of six, five to seven years on the average, to approach grade norms in academically related aspects of English proficiency. Thus, it clearly takes considerably longer for language minority students to develop age-appropriate academic skills in English than it does to develop certain aspects of age-appropriate English face-to-face communicative skills. It follows that students exited on the basis of teacher judgments or language tests which primarily assess face-to-face communicative skills are likely to experience considerable academic difficulty in an English-only program, and many will manifest the well-documented pattern of cumulative deficits.

The dangers of unanalyzed notions of what constitutes "English proficiency" can be illustrated by an example from a Canadian study in which the teacher referral forms and psychological assessments of 428 language minority students were analyzed (Cummins, 1980c). This particular child (PR) was first referred in grade 1 by the school principal who noted:

> PR is experiencing considerable difficulty with grade 1 work. An intellectual assessment would help her teacher to set realistic learning expectations for her and might provide some clues as to remedial assistance that might be offered.

No mention was made of the child's English-as-a-second-language (ESL) background; this only emerged when the child was referred by the second grade

teacher in the following year. Thus, the psychologist does not consider this as a possible factor in accounting for the discrepancy between a Verbal IQ of 64 and a Performance IQ of 108. The assessment report read as follows:

> Although overall ability level appears to be within the low average range, note the significant difference between verbal and nonverbal scores. . . . It would appear that PR's development has not progressed at a normal rate and consequently she is and will continue to experience much difficulty in school. Teacher's expectations (at this time) should be set accordingly.

What is interesting in this example is that the child's face-to-face communicative skills are presumably sufficiently well developed that the psychologist (and possibly the teacher) is not alerted to her ESL background. This leads the psychologist to infer from her low verbal IQ score that "her development has not progressed at a normal rate" and to advise the teacher to set low academic expectations for the child, since she "will continue to experience much difficulty in school." There is ample evidence from many contexts (e.g., Mercer, 1973) of how the attribution of deficient cognitive skills to language minority students can become self-fulfilling.

In many of the referral forms and psychological assessments analyzed in this study, the following line of reasoning was invoked:

> Because language minority students are fluent in English, their poor academic performance and/or test scores cannot be attributed to lack of proficiency in English. Therefore, these students must either have deficient cognitive abilities or be poorly motivated ("lazy").

In a similar way, when language minority students are exited from bilingual programs on the basis of fluent English communicative skills, it appears that their subsequent academic difficulties cannot logically be attributed to "lack of English proficiency." Thus, educators are

likely to atribute these difficulties to factors within the student, such as "low academic ability" (IQ).

These misconceptions derive from the fact that the relationships between "language proficiency" and academic development have not been adequately considered among either native English-speaking or language minority students. In the remainder of this paper a theoretical framework is developed for conceptualizing these relationships.

## A Theoretical Framework[3]

On the basis of the foregoing analysis of the confusions which exist both in current language proficiency assessment techniques and in procedures for exiting students from bilingual programs, three minimal requirements for a theoretical framework of language proficiency relevant to bilingual education in the United States can be outlined: First, such a framework must incorporate a developmental perspective so that those aspects of language proficiency which are mastered early by native speakers and L2 learners can be distinguished from those that continue to vary across individuals as development progresses; second, the framework must be capable of allowing differences between the linguistic demands of the school and those of interpersonal contexts outside the school to be described; third, the framework must be capable of allowing the developmental relationships between L1 and L2 proficiency to be described.

Current theoretical frameworks of "communicative competence" (e.g., Canale, 1981; Canale and Swain, 1980) do not meet, and were not intended to meet, these requirements. Canale (1981) distinguishes grammatical, sociolinguistic, discourse, and strategic competencies but states that their relationship with each other and with world knowledge and academic achievement is an empirical question yet to be addressed. Although this framework is

extremely useful for some purposes, its applicability to bilingual education is limited by its static nondevelopmental nature and by the fact that the relationships between academic performance and the components of communicative competence in L1 and L2 are not considered. For example, both pronunciation and lexical knowledge would be classified under grammatical competence. Yet L1 pronunciation is mastered very early by native speakers, whereas lexical knowledge continues to develop throughout schooling and is strongly related to academic performance.

The framework outlined below is an attempt to conceptualize "language proficiency" in such a way that the developmental interrelationships between academic performance and language proficiency in both L1 and L2 can be considered. It is proposed only in relation to the development of academic skills in bilingual education and is not necessarily appropriate or applicable to other contexts or issues. Essentially, the framework tries to integrate the earlier distinction between basic interpersonal commnicative skills (BICS) and cognitive/academic language proficiency (CALP) into a more general theoretical model. The BICS - CALP distinction was intended to make the same point that was made earlier in this paper: namely, academic deficits are often created by teachers and psychologists who fail to realize that it takes language minority students considerably longer to attain grade/age-appropriate levels in English academic skills than it does in English face-to-face communicative skills. However, such a dichotomy oversimplifies the phenomena and risks misinterpretation. It is also difficult to discuss the crucial developmental issues in terms of the BICS - CALP dichotomy.

The framework presented in Figure 3 proposes that in the context of bilingual education in the United States, "language proficiency" can be conceptualized along two continuums. First is a continuum relating to the range of contextual support available for expressing or receiving meaning.

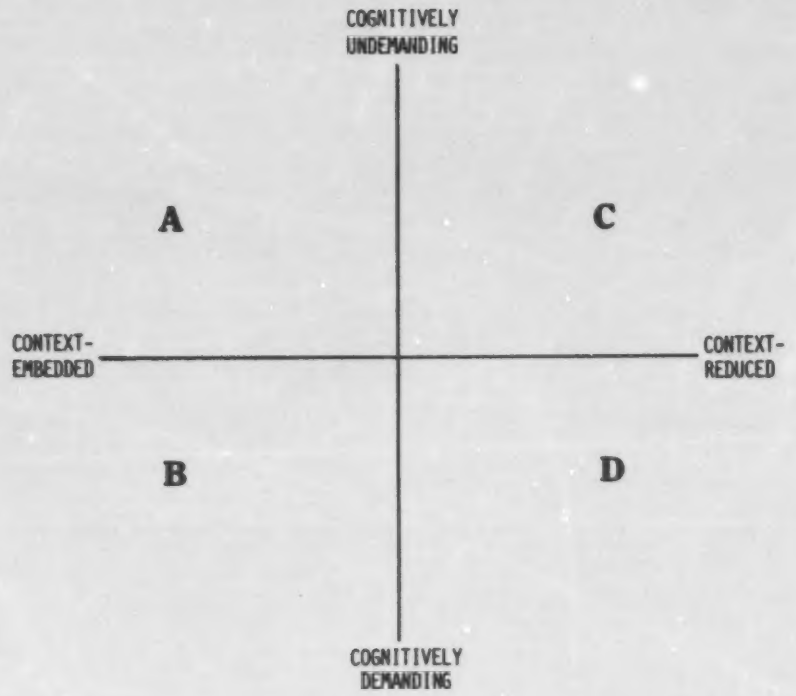


FIGURE 3

RANGE OF CONTEXTUAL SUPPORT AND COGNITIVE INVOLVEMENT IN COMMUNICATIVE ACTIVITIES

The extremes of this continuum are described in terms of "context-embedded" versus "context-reduced" communication. In context-embedded communication the participants can actively negotiate meaning (e.g., by providing feedback that the message has not been understood), and a wide range of meaningful paralinguistic (gestures, intonation, etc.) and situational cues support the language; context-reduced communication, on the other hand, relies primarily (or at the extreme of the continuum, exclusively) on linguistic cues to meaning and may, in some cases, involve suspending knowledge of the "real world" in order to interpret (or manipulate) the logic of the communication appropriately.[4]

In general, context-embedded communication derives from interpersonal involvement in a shared reality which obviates the need for ex-

plicit linguistic elaboration of the message. Context-reduced communication, on the other hand, derives from the fact that this shared reality cannot be assumed, and thus linguistic messages must be elaborated precisely and explicitly so that the risk of misinterpretation is minimized. It is important to emphasize that this is a continuum and not a dichotomy. Thus, examples of communicative behaviors going from left to right along the continuum might be: engaging in a discussion, writing a letter to a close friend, writing (or reading) an academic article. Clearly, context-embedded communication is more typical of the everyday world outside the classroom, whereas many of the linguistic demands of the classroom reflect communication that is closer to the context-reduced end of the continuum.

The vertical continuum is intended to address the developmental aspects of communicative proficiency in terms of the degree of active cognitive involvement in the task or activity. Cognitive involvement can be conceptualized in terms of the amount of information that must be processed simultaneously or in close succession by the individual in order to carry out the activity.

How does this continuum incorporate a developmental perspective? If we return to the four components of communicative competence (grammatical, sociolingustic, discourse, and strategic) discussed by Canale (1981), it is clear that within each one some subskills are mastered more rapidly than others. In other words, some subskills (e.g., pronunciation and syntax within L1 grammatical competence) reach plateau levels at which there are no longer significant differences in mastery between individuals (at least in context-embedded situations). Other subskills continue to develop throughout the school years and beyond,

depending upon the individual's communicative needs, in particular cultural and institutional milieux.

Thus, the upper parts of the vertical continuum consist of communicative tasks and activities in which the linguistic tools have become largely automatized (mastered) and thus require little active cognitive involvement for appropriate performance. At the lower end of the continuum are tasks and activities in which the communicative tools have not become automatized and thus require active cognitive involvement. Persuading another individual that your point of view rather than his/hers is correct or writing an essay on a complex theme are examples of of such activities. In these situations, it is necessary to stretch one's linguistic resources (i.e., grammatical, sociolinguistic, discourse, and strategic competencies) to the limit in order to achieve one's communicative goals. Obviously, cognitive involvement, in the sense of amount of informtion processing, can be just as intense in context-embedded as in context-reduced activities.

As mastery is developed, specific linguistic tasks and skills travel from the bottom towards the top of the vertical continuum. In other words, there tends to be a high level of cognitive involvement in task or activity performance until mastery has been achieved or, alternatively, until a plateau level at less than mastery levels has been reached (e.g., L2 pronunciation in many adult immigrants, "fossilization" of certain grammatical features among French immersion students, etc.). Thus, learning the phonology and syntax of L1, for example, requires considerable cognitive involvement for the two- and three-year-old child, and therefore these tasks would be placed in quadrant B (context-embedded, cognitively demanding). However, as mastery of these skills develops, tasks involving

them would move from quadrant B to quadrant A, since performance becomes increasingly automatized and cognitively undemanding. In a second language context the same type of developmental progression occurs. As specific linguistic tasks and skills are mastered in L2, they move up the vertical continuum.

The third requirement for a theoretical framework applicable to bilingual education is that it permit the developmental interrelationships between L1 and L2 proficiency to be conceptualized. There is considerable evidence that L1 and L2 proficiencies are interdependent, i.e., manifestations of a common underlying proficiency (see Cummins, 1981). The evidence reviewed in support of the Interdependence Hypothesis primarily involved academic or "context-reduced" language proficiency because the hypothesis was developed explicitly in relation to the development of bilingual academic skills. However, any language task which is cognitively demanding for a group of individuals is likely to show a moderate degree of interdependence across languages. Also, other factors (e.g., personality, learning style, etc.) in addition to general cognitive skills are likely to contribute to the relationship between L1 and L2, and thus some cognitively undemanding aspects of proficiency (e.g., fluency) may also be related across languages.

As far as context-reduced language proficiency is concerned, the transferability across languages of many of the proficiencies involved in reading (e.g., inferring and predicting meaning based on sampling from the text) and writing (e.g., planning large chunks of discourse) is obvious. However, even where the task demands are language-specific (e.g., decoding or spelling), a strong relationship may be obtained between skills in L1 and L2 as a result of a more generalized proficiency (and motivation) to handle cognitively demanding context-reduced language tasks. Similarly,

on the context-embedded side, many sociolinguistic rules of face-to-face communication are language-specific, but L1 and L2 sociolinguistic skills may be related as a result of a possible generalized sensitivity to sociolinguistic rules of discourse.

In conclusion, the theoretical framework appears to permit the complexity of L1-L2 relationships to be conceptualized while providing a more adequate rationale for the essentially simple point that academic skills in L1 and L2 are interdependent. The framework also provides the basis for a task-analysis of measures of "language proficiency" which would allow the relationships between language measures and academic performance to be predicted for any particular group of individuals. In general, the more context-reduced and cognitively demanding the language task, the more it will be related to achievement. However, although there are intrinsic characteristics of some language tasks which make them more cognitively demanding and context-reduced, these task characteristics must be considered in conjunction with the characteristics of the particular language users (e.g., L1 and/or L2 proficiency, learning style, etc.). For example, skills that have become automatized for native speakers of a language may very well be highly cognitively demanding for learners of that language as an L2. Thus, we would expect different relationships between achievement and certain language tasks in an L1 as compared to an L2 context.[5]

## Assessment of Entry and Exit Criteria Revisited

The theoretical framework can readily be applied to the issue of the assessment of entry and exit criteria. The problem highlighted earlier was that if language minority students manifest proficiencies in some context-embedded aspects of English (quadrant A), they are often regarded

as having sufficient "English proficiency" both to follow a regular English curriculum and to take psychological and educational tests in English. What is not realized by many educators is that because of language minority students' ESL background, the regular English curriculum and psychological assessment procedures are considerably more context-reduced and cognitively demanding than they are for English-background students. In other words, students' English proficiency may not be sufficiently developed to cope with communicative demands which are very different from those of face-to-face situations.

What assessment procedures should be used for entry and exit in bilingual programs? Given that the purpose of language proficiency assessment in bilingual education is placement of students in classes taught through the language which, it is assumed, will best promote the development of academic skills, it is necessary that the procedures assess proficiencies related to the communicative demands of schooling. However, in order to be valid, the procedures should also reflect children's previous experience with language. Because the child's language experiences prior to school have been largely in context-embedded situations, the assessment procedures for entry purposes should involve cognitively demanding context-embedded measures which are fair to the variety of L1 (and L2) spoken by the child. However, for exit purposes, it is recommended that cognitively demanding context-reduced measures be used because these more accurately reflect the communicative demands of an all-English classroom. If children are unable to handle the context-reduced demands of an English test, there is little reason to believe that they have developed sufficient "English proficiency" to compete on an equal basis with native English-speaking children in a regular English classroom.

These suggestions derive from a theoretical analysis of the relationships between language proficiency and academic performance and clearly require empirical confirmation. However, without a theoretical framework for conceptualizing these relationships, legitimate empirical questions cannot even be asked. An example of a commonly posed empirical question which is essentially meaningless when asked in a theoretical vacuum is the issue of the relationship between "oral language proficiency" and reading. Within the context of the present framework, "oral language proficiency" could equally refer to cognitively undemanding context-embedded skills as to cognitively demanding context-reduced skills. As one would expect on the basis of the present analysis, there is little relationship between these two aspects of "oral language proficiency"; also, reading skills are strongly related to the latter, but unrelated to the former (see e.g., Cummins, 1981).

In summary, the major reasons for the confusion in regard to assessment procedures for entry and exit criteria in bilingual education is that neither the construct of language proficiency itself nor its relationship to the development of cognitive and academic skills has been adequately conceptualized. The extreme positions (1) that language proficiency is essentially independent of cognitive and academic skills, implied by some sociolinguists on the basis of ethnographically oriented research, and (2) that language proficiency is largely indistinguishable from cognitive and academic skills, suggested by much of the psychometric research reviewed by Oller and his colleagues, both arbitrarily identify particular aspects of the construct of language proficiency with the totality of the construct. In the present paper it has been argued that language proficiency cannot be conceptualized as one static entity or as

64 static entities. It is constantly developing along different dimensions (e.g., grammatical, sociolinguistic, discourse, and strategic dimensions) and being specialized for different contexts of use among monolingual English-speaking as well as language minority children. In academic contexts, certain aspects of language proficiency develop in specialized ways to become the major tool for meeting the cognitive and communicative demands of schooling. A major implication of the present framework is that recognition of the very different communicative proficiencies required of children in school encounters as compared to the one-to-one, face-to-face interaction typical of out-of-school contexts is a first step towards the development of theoretically and empirically viable entry and exit procedures.

## NOTES

[1]This paper is a slightly elaborated version of a paper which was presented at the Inter-America Symposium on Language Proficiency Assessment, Airlie, Virginia, March, 1961, and which will be published in the symposium proceedings.

The need for a theoretical framework explicitly designed to relate language proficiency to academic achievement was brought home to me at the Language Proficiency Assessment Symposium (LPAS) not only as a result of criticisms of the distinction which I had introduced between basic interpersonal communicative skills (BICS) and cognitive/academic language proficiency (CALP) but, more importantly, by the lack of any resolution of the issues to which that distinction was addressed. The present theoretical framework is essentially an elaboration and, hopefully, a clarification of the BICS - CALP distinction. In addition to the many participants at the LPAS who made valuable suggestions, I would like to acknowledge my debt to John Oller, Jr. and to Merrill Swain for many useful discussions on these issues.

[2]Much of the vehemence with which researchers have rejected the verbal components of standardized IQ and achievement tests as valid measures of either "language proficiency" or cognitive abilities stems from the blatant misuse of such measures with low socioeconomic status (SES) and ethnic minority students (see for example, Cummins, 1980). However, the fact that SES or cultural differences on such measures can be explained by acculturation to middle-class majority group norms does not account for differences between individuals <u>within</u> SES or cultural groups on cognitively demanding culture-specific measures of proficiency . In other words, it is logically invalid to argue that a particular phenom-

enon (e.g., cognitive development) does not exist because some of the tools used to measure that phenomenon (e.g., IQ tests) have been abused.

[3]This theoretical framework should be viewed within a social content. The language proficiencies described develop as a result of various types of communicative interactions at home and school (see e.g., Wells, 1981). The nature of these interactions is, in turn, determined by broader societal factors (see Cummins, 1981). In order to emphasize the social nature of "language proficiency," this term will be used interchangeably with "communicative proficiency" in describing the framework.

[4]The term "context-reduced" is used rather than "disembedded" (Donaldson.1978) or "decontextualized" because there is a large variety of contextual cues available to carry out tasks even at the context-reduced end of the continuum. The differences, however, is that these cues are exclusively linguistic in nature.

[5]It should be pointed out that the framework in no way implies that language pedagogy should be context-reduced. There is considerable evidence from both first and second language pedagogy (e.g., Smith, 1978; Swain, 1978) to support the principle that context-reduced language proficiency can be most successfully developed on the basis of initial instruction which maximizes the degree of context-embeddedness. In other words, the more instruction is in tune with the experience and skills the child brings to school (i.e., the more meaningful it is), the more learning will occur. This is one of the reasons why bilingual education is, in general, more successful for language minority students than English-only programs.

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PRE/POSTTEST FOR PART 4

1. _____ Language proficiency is independent of intellectual abilities and academic achievement.

2. _____ BICS and CALP is a distinction between "communicative" and "cognitive" aspects of language proficiency.

3. _____ A student can be exited after achieving the first (lower) threshold of linguistic proficiency.

4. _____ L1 and L2 academic proficiencies are developmentally interdependent.

5. _____ L2 proficiency is partially dependent upon the prior level of development of L1 proficiency.

6. _____ The "common underlying proficiency" of a student is theoretically uncapable of being developed through instruction in two languages.

7. _____ Integrative tests are invalid for assessing language proficiency because of their strong relationships to achievement of IQ.

8. _____ Naturally occurring communicative situations are better than contrived test situations for assessing language proficiency.

9. _____ Imitation tasks are better for measuring communicative competence.

10. _____ When students can cope with the communicative demands of face-to-face situations, they can be exited to an all-English classroom.

11. _____ It is only in the latter grades of elementary school that students approach grade norms in English reading skills.

12. _____ Context-reduced communication relies on linguistic cues to meaning and may in some cases involve suspending knowledge of the real world in order to interpret the logic of the comunication appropriately.

13. _____ Context-embedded communication is supported by a wide range of meaningful paralinguistic and situational cues.

14. _____ Context-embedded communication is where the linguistic messages must be elaborated precisely and explicitly so that the risk of misinterpretation is minimized.

15. _____ In context-reduced communication the participants can actively negotiate meaning.

16. _____ Today typical classrooms reflect communication which is closer to the context-reduced end of the continuum.

17. _____ According to Canale, the components of communicative competence are: grammatical, sociolinguistic, discourse, and strategic.

18. _____ Persuading another individual that your point of view rather than his/hers is correct is a sample of a cognitively demanding task.

19. _____ Any language task which is cognitively demanding for a group of individuals is likely to show a moderate degree of interdependence across languages.

20. _____ Factors such as "personality," "learning style" do not contribute to the relationship between L1 and L2.

21. _____ There is definite transferability across languages of many of the proficiencies such as "reading" or "writing."

22. _____ Many sociolinguistic rules of face-to-face communication are language specific, but L1 and L2 sociolinguistic skills may be related.

23. _____ If language minority students manifest proficiencies in some context-embedded aspects of English, they have sufficient English proficiency to take psychological and educational tests in English.

24. _____ Placement tests should include cognitively demanding context-embedded measures.

25. _____ Exit tests should include cognitively demanding context-reduced measures.

26. _____ The major reason for the confusion in regard to assessment procedures for entry and exit criteria is that the construct of language proficiency has not been adequately conceptualized.

27. _____ Language proficiency is essentially independent of cognitive and academic skills.

28. _____ Language proficiency is largely indistinguishable from cognitive and academic skills.

ANSWERS TO PRE/POSTTEST FOR PART 4

1. F Language proficiency is independent of intellectual abilities and academic achievement.

2. F BICS and CALP is a distinction between "communicative" and "cognitive" aspects of language proficiency.

3. F A student can be exited after achieving the first (lower) threshold of linguistic proficiency.

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8. F Naturally occurring communicative situations are better than contrived test situations for assessing language proficiency.

9. F Imitation tasks are better for measuring communicative competence.

10. F When students can cope with the communicative demands of face-to-face situations, they can be exited to an all-English classroom.

11. T It is only in the latter grades of elementary school that students approach grade norms in English reading skills.

12. T Context-reduced communication relies on linguistic cues to meaning and may in some cases involve suspending knowledge of the real world in order to interpret the logic of the comunication appropriately.

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19. T Any language task which is cognitively demanding for a group of individuals is likely to show a moderate degree of interdependence across languages.

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23. F If language minority students manifest proficiencies in some context-embedded aspects of English, they have sufficient English proficiency to take psychological and educational tests in English.

24. T Placement tests should include cognitively demanding context-embedded measures.

25. T Exit tests should include cognitively demanding context-reduced measures.

26. T The major reason for the confusion in regard to assessment procedures for entry and exit criteria is that the construct of language proficiency has not been adequately conceptualized.

27. F Language proficiency is essentially independent of cognitive and academic skills.

28. F Language proficiency is largely indistinguishable from cognitive and academic skills.

# Activity for Part 4

# ACTIVITY VII--PART 1

Seminar/Workshop on: A Theoretical Framework for Bilingual Education

Mode: Small group process

Time: 1 hour

Number of groups: 3

Materials necessary: Cummins' article (Part 4); 3 true-false questionnaires for Groups I, II, III; overhead transparencies with answers (pp. 95, 99, 103 Teacher Edition); overhead projector.

Prerequisite: Knowledge of BICS and CALP

**Task 1** Time alloted: 30 minutes

1. Participants divide into 3 groups and work collectively to answer the true-false questionnaire.
2. A recorder/reporter writes down the answers and any concerns that each question might have generated.

**Task 2** Time alloted: 30 minutes

1. Each group receives the other two questionnaires (unanswered).
2. Each recorder/reporter reads the group answers and presents discussion concerns.
3. Correct answers are projected on the overhead.
4. Further clarification ensues through the participants themselves if necessary.

# ACTIVITY VII--PART 1

DISCUSSION ITEMS FOR GROUP I

1. _____ Language proficiency is independent of intellectual abilities and academic achievement.

2. _____ BICS and CALP is a distinction between "communicative" and "cognitive" aspects of language proficiency.

3. _____ A student can be exited after achieving the first (lower) threshold of linguistic proficiency.

4. _____ L1 and L2 academic proficiencies are developmentally interdependent.

5. _____ L2 proficiency is partially dependent upon the prior level of development of L1 proficiency.

6. _____ The "common underlying proficiency" of a student is theoretically uncapable of being developed through instruction in two languages.

7. _____ Integrative tests are invalid for assessing language proficiency because of their strong relationships to achievement of IQ.

8. _____ Naturally occurring communicative situations are better than contrived test situations for assessing language proficiency.

9. _____ Imitation tasks are better for measuring communicative competence.

10. _____ When students can cope with the communicative demands of face-to-face situations, they can be exited to an all-English classroom.

11. _____ It is only in the latter grades of elementary school that students approach grade norms in English reading skills.


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## ACTIVITY VII--PART 1

DISCUSSION ITEMS FOR GROUP I

1. F Language proficiency is independent of intellectual abilities and academic achievement.

2. F BICS and CALP is a distinction between "communicative" and "cognitive" aspects of language proficiency.

3. F A student can be exited after achieving the first (lower) threshold of linguistic proficiency.

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5. T L2 proficiency is partially dependent upon the prior level of development of L1 proficiency.

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8. F Naturally occurring communicative situations are better than contrived test situations for assessing language proficiency.

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10. F When students can cope with the communicative demands of face-to-face situations, they can be exited to an all-English classroom.

11. T It is only in the latter grades of elementary school that students approach grade norms in English reading skills.

# ACTIVITY VII--PART 1

DISCUSSION ITEMS FOR GROUP II

12. _____ Context-reduced communication relies on linguistic cues to meaning and may in some cases involve suspending knowledge of the real world in order to interpret the logic of the comunication appropriately.

13. _____ Context-embedded communication is supported by a wide range of meaningful paralinguistic and situational cues.

14. _____ Context-embedded communication is where the linguistic messages must be elaborated precisely and explicitly so that the risk of misinterpretation is minimized.

15. _____ In context-reduced communication the participants can actively negotiate meaning.

16. _____ Today typical classrooms reflect communication which is closer to the context-reduced end of the continuum.

17. _____ According to Canale, the components of communicative competence are: grammatical, sociolinguistic, discourse, and strategic.

18. _____ Persuading another individual that your point of view rather than his/hers is correct is a sample of a cognitively demanding task.

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DISCUSSION ITEMS FOR GROUP II

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17. T According to Canale, the components of communicative competence are: grammatical, sociolinguistic, discourse, and strategic.

18. T Persuading another individual that your point of view rather than his/hers is correct is a sample of a cognitively demanding task.

# ACTIVITY VII--PART 1

DISCUSSION ITEMS FOR GROUP III

19. _____ Any language task which is cognitively demanding for a group of individuals is likely to show a moderate degree of interdependence across languages.

20. _____ Factors such as "personality," "learning style" do not contribute to the relationship between L1 and L2.

21. _____ There is definite transferability across languages of many of the proficiencies such as "reading" or "writing."

22. _____ Many sociolinguistic rules of face-to-face communication are language specific, but L1 and L2 sociolinguistic skills may be related.

23. _____ If language minority students manifest proficiencies in some context-embedded aspects of English, they have sufficient English proficiency to take psychological and educational tests in English.

24. _____ Placement tests should include cognitively demanding context-embedded measures.

25. _____ Exit tests should include cognitively demanding context-reduced measures.

26. _____ The major reason for the confusion in regard to assessment procedures for entry and exit criteria is that the construct of language proficiency has not been adequately conceptualized.

27. _____ Language proficiency is essentially independent of cognitive and academic skills.

28. _____ Language proficiency is largely indistinguishable from cognitive and academic skills.

## ACTIVITY VII--PART 1

DISCUSSION ITEMS FOR GROUP III

19. T Any language task which is cognitively demanding for a group of individuals is likely to show a moderate degree of interdependence across languages.

20. F Factors such as "personality," "learning style" do not contribute to the relationship between L1 and L2.

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22. T Many sociolinguistic rules of face-to-face communication are language specific, but L1 and L2 sociolinguistic skills may be related.

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25. T Exit tests should include cognitively demanding context-reduced measures.

26. T The major reason for the confusion in regard to assessment procedures for entry and exit criteria is that the construct of language proficiency has not been adequately conceptualized.

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28. F Language proficiency is largely indistinguishable from cognitive and academic skills.

# ACTIVITY VII--PART 2

Seminar/Workshop on: A Theoretical Framework for Bilingual Education

Mode: Small group process and individual tasks

Time: From 1 to 3 days

Number of Groups: 4 or 5 (no more than 5 persons in each)

Materials necessary: Part 4; pp. 45-51 (Teacher Edition), 39-45 (Student Edition) or total packet

Prerequisite: Knowledge and internalization of Cummins' theories

**Task 1** Time alloted: 30 minutes

Participants divide into groups and each is asked to prepare an outline of how and what they would present to:

1. school board members (in 20 minutes)
2. administrators (in 1 hour)
3. teachers (in 2 hours)
4. teacher aides (in 1 hour)
5. Spanish-speaking parents (in 45 minutes)

on the theoretical framework proposed by Cummins.

**Task 2** Time alloted: 30 minutes

Each group selects a recorder/reporter to share the outline and discussion with total group.

NOTE: Experienced educators will want to elaborate more on the discussions as to how these presentations would apply in their school settings. Additional time should be alloted for this discussion.

**Task 3** Time alloted: 3 hours

Participants, working individually now, revise and add to their outline for a presentation and develop the transparencies or script for a 20 minutes presentation to the audience of their choice; i.e., administrators, board members, etc.

Task 4

Time alloted: 4 hours
Type of facility: 5 small rooms

1. Participants return to their original groups of 5. Each member of the group will do his/her 20-minute presentation for the other 4 members.

2. After each presentation, members will provide immediate feedback by answering with the following open-ended statements:

   . What I liked about this presentation was . . .

   . You could probably improve the presentation by . . .

NOTE: Videotaping of the sessions is highly encouraged. If there is time, they could be sequenced over a longer period with the total group to make this possible instead of 5 groups performing back-to-back.

# Posttest

1. What is Communicative Competence?

2. How have linguistic trends influenced the focus of instruction and assessment?

3. What constitutes the major problem(s) of assessing communicative competence?

4. Discuss the difference(s) between discrete item tests and pragmatic and/or integrative tests.

5. What is the difference between Basic Interpersonal Communicative Skills (BICS) and Cognitive/Academic Language Proficiency (CALP)?

6. How is L2 interdependent of L1?

7. Which student is apt to achieve better in English by grade 6, the one who receives more English in grades K-5 or the one who receives more Spanish? Explain.

8. What should be used to exit a student out of a bilingual program?

# Answer Key to Posttest

1. See p. 23 paragraph 1, pp. 49, 50, 51, and Part 4.
2. See pp. 21, 22, 45, 46, and Part 4.
3. See pp. 23, 24, 25, 49, 50, 51, 52, and Part 4.
4. See pp. 26, 27, and 28.
5. See pp. 46, 47, 48, 49, and Part 4.
6. See pp. 48, 49, and Part 4.
7. See pp. 49, 50, 51, and Part 4.
8. See p. 52.

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